



Senior Personnel Award Program

Guidelines for Applicants:

2010/2011 Career Investigator Award

(Fall 2009 Competition)

CAREER INVESTIGATOR
SENIOR PERSONNEL

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A. GENERAL INFORMATION

1) HSF Mission Statement

The Heart and Stroke Foundation, a volunteer-based health charity, leads in eliminating heart disease and stroke and reducing their impact through the advancement of research and its application, the promotion of healthy living, and advocacy.

2) Application Submission Deadline

Applications for the Career Investigator award must be received by the Heart and Stroke Foundation of Canada (HSFC) and the Heart and Stroke Foundation of Ontario (HSFO) no later than 16:00 (EDT) on September 1 of each year.

If the deadline falls on a weekend or statutory holiday, HSFC/HSFO must receive the application no later than 16:00 (EDT) on the previous Friday.

Applications received after the deadline will be considered late even if they are courier-stamped on the deadline date.

HSFC reserves the right to decline late or incomplete applications.

3) Incomplete/Unacceptable Applications

Applicants are strongly cautioned to carefully read and follow the instructions and requirements outlined in this guideline document as well as the Checklist page of the application form.

In order to maintain the principle of fairness to all applicants, regulations must be adhered to in the preparation of the Career Investigator application. Any infraction of the rules will lead to the truncation or immediate rejection (without appeal) of the application. These regulations have the advantage of being unambiguous for applicants, easily enforceable by staff and/or review panels, and fair and equitable for all applicants.

4) Re-Applying to the Career Investigator Competition

If two (2) unsuccessful Career Investigator applications have been made, a subsequent application will be considered only in unusual circumstances.

5) Competition Results

Results are posted on the HSFC Research website (<http://www.hsf.ca/research/>) in March. Official letters are also sent in March.

6) Closing of Award

When work under an award is complete, or if for any reason the work cannot be continued, the award will be closed and final claims for payment will be issued by the institution to HSFO only for work completed to that point.

7) Prolonged Absence from Work

The applicant will notify HSFO of any illness or other cause necessitating absence from work exceeding thirty (30) successive days. Continuation of the award will be at the discretion of HSFO.

8) Non-Employee Status

The granting of an award is deemed to establish neither an employer-employee relationship nor a partnership between the grantor and the grantee.

9) Privacy Information

Providing your date of birth on the application form is optional. However, this information will ensure accurate identification of applicants and will assist HSFC with statistical analysis. This information will NOT be transmitted to any entity external to the Heart and Stroke Foundation.

10) Public Information

Successful applicants need to be aware that the title of their research project and the lay summary may be used without notification and put into the public domain. Applicants are cautioned not to disclose information that could endanger a proprietary position in these sections.

11) Ethical Requirements

By signing and submitting applications to HSFC/HSFO, applicants undertake the responsibility to ensure any experimentation will be acceptable to the institution on ethical grounds and comply with the Tri-Council Policy Statements: *Ethical Conduct for Research Involving Humans*¹.

In the case of laboratory animal experimentation, the guiding principles enunciated by the Canadian Council on Animal Care will be followed. The proposed research will not be undertaken until it has been accepted as meeting the requirements regarding biological and chemical hazards as outlined in the Public Health Agency of Canada *Laboratory Biosafety Guidelines*².

In addition, any research involving human pluripotent stem cells must adhere to the *Guidelines for Human Pluripotent Stem Cell Research*³. The institution must notify HSFC as to the results of the review by the CIHR's Stem Cell Oversight Committee⁴.

12) Patent Rights

In the event of any inventions, discoveries or improvements arising as a result of work conducted under a Heart and Stroke Foundation award, which may be, or have been covered by patent applications or patents, the granting Heart and Stroke Foundation shall be deemed to have an interest in any patent rights covered by such patent applications or patents. For the purpose of continuing titular control and administration of any patent rights covering inventions, discoveries or improvements arising as mentioned previously (such patent rights shall be assigned to the granting Heart and Stroke Foundation), the parties comprising the granting Heart and Stroke Foundation, the inventors, and the institution, shall together determine the respective interest of the parties in said patent rights or in the net proceeds, if any, of exploitation of said patent rights.

13) Indirect Costs

The HSFO supports only the direct costs of research. No funding is to be used or will be approved for indirect costs of research (e.g. library, heat and light, office furniture, overhead payments, and administrative charges). Further, funds may not be requested for 'global' taxes/tithes related to services.

14) Publications

To implement a program for the marketing of research, we request that the HSFO be notified in advance of the date of any publication of any works arising from research funded by the HSFO. Further, recipients of grants and personnel awards are required and expected to acknowledge the support of the Foundation in all scientific communications and press releases related to the grant or personnel award. An appropriate acknowledgement of a grant would be: *"This research is supported by the Heart and Stroke Foundation of Ontario Grant No. T1234."*

¹ See <http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm> for details.

² See <http://www.phac-aspc.gc.ca/publicat/lbg-ldmbl-04/index.html> for details.

³ See <http://www.cihr-irsc.gc.ca/e/34460.html> for details.

⁴ See <http://www.cihr-irsc.gc.ca/e/15298.html> for details.

15) Four Themes of Health Research

The four (4) themes of health research as defined by the Michael Smith Foundation for Health Research are:

Basic Biomedical (I)

Research with the goal of understanding normal and abnormal human function, at the molecular, cellular, organ system and whole body levels, including the development of tools and techniques to be applied for this purpose; developing new therapies or devices which improve health or the quality of life of individuals, up to the point where they are tested on human subjects. Studies on human subjects that do not have a diagnostic or therapeutic orientation.

Clinical (II)

Research with the goal of improving the diagnosis and treatment (including rehabilitation and palliation) of disease and injury; improving the health and quality of life of individuals as they pass through normal life stages. Research on, or for the treatment of, patients.

Health Services/Systems (III)

Research with the goal of improving the efficiency and effectiveness of health professionals and the health care system, through changes to practice and policy. Health services research is a multidisciplinary field of scientific investigation that studies how social factors, financing systems, organizational structures and processes, health technologies, and personal behaviours affect access to health care, the quality and cost of health care, and ultimately our health and well-being.

Population Health (IV)

Research with the goal of improving the health of the Canadian population, or of defined sub-populations, through a better understanding of the ways in which social, cultural, environmental, occupational, and economic factors determine status.

16) Lay Reviewers

HSFC incorporates lay reviewers on Scientific Research Committee (SRC) panels in order to increase accountability and transparency of the HSFC review process and to ensure the research is aligned with its goals and mission. HSFC places a high priority on ensuring appropriate lay summaries are submitted as part of each application.

17) Multiple Submissions

Multiple submissions for Personnel Award applicants are not permitted. Where partnership programs are in place, the applicant must contact HSFC for more information.

18) Transfer of Award

Personnel Awards are not transferable under any circumstances.

Recipients of Personnel Awards are not permitted to change projects or institutions without the documented permission of HSFO. The institution to which the awardee is moving will be required to supply the same supporting documentation as was required in the original application.

The Personnel Award recipient must immediately notify HSFO should he/she be unable to continue his/her current research program.

Relocating outside of Canada will result in the termination of the Career Investigator award.

19) Status of Publications

Any manuscript, paper, etc. included with an application, but not yet published, must be accompanied by documentation from the journal verifying whether it has been submitted, accepted for publication or is in press. Letters indicating confirmation of acceptance for publication of a paper must be received by the Foundation no later than January 2 of each year.

20) Partial Awards

Partial awards of less than one (1) year are not available to Personnel Award applicants.

21) Financial

Claims for payment of grants are to be submitted by the institution's Financial Comptroller at least quarterly, in duplicate and in a form satisfactory to the Foundation. In no case should the amount claimed exceed funds approved for each grant. If a grant is awarded, funding for year one is approved on the condition that the Foundation is in a position to meet all of its financial requirements. Funding for subsequent years of a grant is conditional on both the approval of the Board of Directors, at its sole discretion on an annual basis, and on the availability of adequate funds to the Foundation. If the Foundation does not advance all or any part of the funds hereby applied for or awarded, the applicant releases the Foundation from any claims whatsoever which he/she may have against it as a result of it not advancing such funds.

B. RESEARCH INTEGRITY POLICY

The primary objective of HSFC's Research Integrity Policy is to protect and defend the integrity of the research process and to deal with allegations of scientific misconduct in a timely and transparent fashion. HSFC agrees with and has adopted the basic policies and recommendations outlined in the Tri-council Policy Statement: *Integrity in Research and Scholarship*⁵. As a condition of funding, all HSFC grant and award recipients agree to comply with the Principles and Responsibilities set out in that policy, and the research misconduct provisions below.

HSFC defines research misconduct to include actions that are inconsistent with "integrity" as defined by the Tri-Council Policy Statement, and to include such actions as fabrication, falsification, or plagiarism in proposing, performing, or reporting research, or in reporting research results.⁶

HSFC will deal with allegations of scientific misconduct in the following manner:

- Any allegation of scientific misconduct will be initially reviewed by HSFC to determine whether an investigation is warranted. If it is felt that an investigation is required, HSFC may request that this be conducted by the host institution of the individual considered to have performed the alleged misconduct. In allegations specifically related to the peer review process, the investigation may be conducted jointly by the institution and HSFC.
- HSFC will not act on verbal allegations of misconduct. All allegations must be submitted in writing. Although the confidentiality of persons who submit an allegation of scientific misconduct will be protected as much as possible, it must be recognized that due process will often result in the identity of this person being released to the investigating institution.
- The institution will be required to submit a written report upon conclusion of the investigation. This report will summarize the findings of the investigation and any future actions that will be undertaken by the institute as a result of the findings.
- In cases where misconduct is concluded to have occurred, HSFC may apply sanctions against the individual(s) implicated. These sanctions will range from a reprimand letter to a ban from applying for or holding Foundation funds for a set period of time.

⁵ Available from http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/tpsintegrity-picintegritie_eng.asp. The Tri-council Policy Statement: *Integrity in Research and Scholarship* was produced by the Canadian Institutes of Health Research, the Natural Sciences and Engineering Research Council of Canada, and the Social Sciences and Humanities Research Council of Canada.

⁶ Wording adopted from the US Department of Health and Human Services, Public Health Service Policies on Research Misconduct, Final Rule. May 17, 2005. Available from http://ori.dhhs.gov/documents/FR_Doc_05-9643.shtml.

C. SPECIFIC PROGRAM INFORMATION

1) Description

The Career Investigator award of HSFO is awarded to individuals with an MD, PhD, or equivalent degree, who are established and recognized independent research workers in the field of cardiovascular and/or cerebrovascular disease who wish to make research in these fields a full-time career. Such individuals would be expected to have achieved national recognition at the time of the first application and clear evidence of this national stature should be provided. Accordingly, applicants should provide letters attesting to this.

At the time of first renewal, applicants should have achieved **international stature and should provide letters in support of this**. These letters should be from experts who are not associated with the applicant and are outside their institution.

Normally, this award is given to prior recipients of New Investigator awards (HSFC, HSFO, HSFBCY, CIHR, or other funding agencies of equivalent stature) once the recipient has achieved the requisite standing as an independent investigator (see above).

Applicants who are unsuccessful in one competition are allowed only one further application in a subsequent year.

As of July 1, 2007, HSFO will not permit an awardee to concurrently hold a Canada Research Chair and an HSFO Career Investigator Award. For those currently holding a Canada Research Chair and a HSFO Career Investigator award, such recipients will be grandfathered and exempt from this policy for the total term of the Career Investigator award. Further, Career Investigator Award recipients may not concurrently hold other personnel awards of similar stature and value, such as endowed chairs.

It is expected that a Career Investigator applicant can demonstrate that their overall research program and research plan has a cardiovascular/cerebrovascular focus. It would also be anticipated that their standing in the cardiovascular/cerebrovascular field would be that of high recognition demonstrated partly by participation in Heart and Stroke Foundation sponsored activities including peer-review committees and/or local, regional or national educational efforts.

2) General Information

- a. The individual must be proposed by a university or an affiliated institution, which must guarantee the Career Investigator an appropriate academic rank and provide adequate space and facilities for his/her research, commensurate with the status of the individual in terms of experience and level of support by the Foundation.
- b. At the point of first application, no more than ten years should have elapsed from completion of research training (first faculty appointment) and receipt of this award. The award is intended for individuals who have just completed the 5-year New Investigator award or equivalent research experience. Applications from more senior individuals will be considered at the first renewal level (having achieved international recognition for their research) and the length of support will be at the discretion of the committee. More senior individuals such as Professors, Department Chairs or Division Heads will be eligible for only one 5-year term, and the application will be considered at the first or second renewal level. However, even for the more senior individuals, no more than ten years should have elapsed from completion of research training (first faculty appointment) and receipt of this award.
- c. Before a Career Investigator award can be considered, a letter must be provided by the Dean, the Chairperson of the Department and where applicable, the Chief of Service of the hospital, stating that the applicant will have 75% of his/her time allocated to research. Details as to how this 75% allocation of research time will be spent must be provided as well as the commitments in the

remaining 25%. Items to cover with respect to the protected time should include activities the investigator will be relieved of, activities she/he will undertake that relate to building research capacity, and an assessment of the incremental benefit the investigator's activities, enabled by the receipt of this award, should have on cardiovascular/cerebrovascular research.

3) Tenure

- a. This award can be held for a maximum of 12 1/2 years -- an initial 5-year award, a 5-year renewal and a final 5-year period in which Foundation support is phased out and University support is phased in on the basis of a 50/50 sharing arrangement.
- b. A pre-requisite for the awarding of a Career Investigator award is the holding of a peer-reviewed Grant-in-Aid from the Heart and Stroke Foundation or other research granting body.
- c. The Career Investigator will be considered an employee of the university or institution and monies granted will be paid to the institution for payment to the awardee. He/she will enjoy all the benefits of a full-time member of the staff for pension, insurance and other plans. The awardee will be permitted to augment the salary from other professional sources. If the Career Investigator holds a full-time appointment in the university or affiliate institution, his/her total professional earnings shall be determined by the university or institutional policy and may be augmented by the institution. The above notwithstanding, in the case of the clinical investigator, a ceiling on earnings must exist under the usual university geographic full-time arrangements.
- d. An appointment may be terminated at any time for good cause by the awardee, the sponsoring institution or the provincial Heart and Stroke Foundation responsible for providing the original award. See the "[Frequently Asked Questions](http://www.hsf.ca/research/en/open-competitions/competition-faqs.html)" for more information.
(<http://www.hsf.ca/research/en/open-competitions/competition-faqs.html>)
- e. The award will normally commence July 1 and the awardee will devote the ensuing five years to the objectives of the award (this period will include holiday time at the discretion of the sponsor or department head). If there are any significant changes in research activities by the awardee during the tenure of the award, the Heart and Stroke Foundation of Ontario should be notified.

4) Progress Reports

Details regarding required progress reports are included within award letters.

5) Stipend and Allowances

- a. The stipend for the Career Investigator is \$81,500 per annum, including the employer's share of fringe benefits. Please contact the Heart and Stroke Foundation of Ontario for details.
- b. An amount of \$1,500 per annum is available for travel for scientific purposes through the institution concerned, which will be reimbursed by the Foundation.

6) Initial Application

Applicants must submit to the Heart and Stroke Foundation of Canada:

- One (1) original collated Senior Personnel application copy (HSFC Form R2)
- Two (2) collated Senior Personnel application copies (HSFC Form R2)
- One (1) CD containing one (1) PDF of the complete application. Please refer to section 6.1 for the structure and format of the PDF application.

Applicants must submit to the Heart and Stroke Foundation of Ontario:

- One (1) CD containing one (1) PDF file of the complete Senior Personnel application. Please refer to section 6.1 for the structure and format of the PDF application.

Each copy of the complete application must include:

- a. A letter from the Dean (or institutional equivalent) of the sponsoring institution appraising the candidate and the proposed research, a description of the nature and extent of any work to be carried out by the awardee apart from the research activity, and the amount and source of any income to be paid supplementary to the award. In the case of the Clinical Investigator, there should be an indication that the total income, including professional earnings, is subject to a ceiling under the usual university geographic full-time arrangements. Co-signed letters will suffice. A letter of critical appraisal from the Department Head (or institutional equivalent) is also required. All letters, including letters of recommendation, must be in sealed envelopes, with the signature of the referee across the seal, and included in the application package. Incomplete applications may not be reviewed.
- b. A joint letter from the Career Investigator applicant and the Department Head (or institutional equivalent) outlining how the investigator's 75% protected time, and 25% remaining time will be spent, as per the details in section 2 (c), above.
- c. Three letters attesting to the Applicants' achievement of national recognition for their research at the time of the first application. All letters, including letters of recommendation, must be in sealed envelopes, with the signature of the referee across the seal, and included in the application package. Incomplete applications may not be reviewed.
- d. A summary of the applicant's overall research program (Section 18 of the application form)
- e. A six-page overview of the applicant's broader overall research program and related research activities (i.e. not a specific research project, section 19 of the application form).
- f. A complete structured lay summary (Section 17) with a clear explanation of how the research proposal is relevant to the mission of the Heart and Stroke Foundation. The lay summary must be written in everyday language (for a general audience) at a level no greater than *Grade 10. The structured lay summary is a **required** section of the application form.

*See the "[Frequently Asked Questions](#)" for more information.

(<http://www.hsf.ca/research/en/open-competitions/competition-faqs.html>)

6.1 CD Submission of Application

The applicant must submit 1 PDF copy of the full application on a CD. The PDF file names should be in the following format: CI Last nameFirst name (e.g. CI SmithJohn). The CD label should contain the following information.

- Name:
- Program Type: CI 2010/2011
- Short title:
- Date:

The PDF should be organized in the same order as the paper application. Attachments should be inserted within the application where appropriate i.e. detailed proposal (item #19) should be inserted directly after item #19 in the application, not at the end. Appendices (if applicable) should appear after the CVs (if applicable). HSFC will attach a copy of the reference letters to the PDF prior to sending the application to reviewers.

In addition, the applicant is required to place bookmarks in the PDF for the following sections:

- Lay Summary (page 5)
- 1 page Summary (page 7)
- Research proposal (page 8)
- CV Last name (e.g. CV Smith)
- CV Publications Last name (e.g. CV Publications Smith)

Please note the page numbers and examples are provided for reference purposes only. The page number is not required in the bookmark name. Please refer to the sample PDF for your reference.

7) First Renewal Application and Reports

Applicants must submit to the Heart and Stroke Foundation of Canada:

- One (1) original collated Senior Personnel application copy (HSFC Form R2)
- Two (2) collated Senior Personnel application copies (HSFC Form R2)
- One (1) CD containing one (1) PDF of the complete application. Please refer to section 6.1 for the structure and format of the PDF application.

Applicants must submit to the Heart and Stroke Foundation of Ontario:

- One (1) CD containing one (1) PDF of the complete Senior Personnel application. Please refer to section 6.1 for the structure and format of the PDF application.

Each copy of the complete renewal application must include:

- a. An overview of the applicant's overall research program and related research activities (i.e. not a specific research project).
- b. Three letters attesting to the Applicants' achievement of international recognition for their research at the time of this first renewal. All letters, including letters of recommendation, must be in sealed envelopes, with the signature of the referee across the seal, and included in the application package. Incomplete applications may not be reviewed.
- c. Reprints of each article dealing with the work supported by the Heart and Stroke Foundation (and so acknowledged on the reprints).
- d. A letter of critical appraisal from the Dean (or institution equivalent) of the sponsoring institution must be submitted; such letter must include a request for renewal, a statement describing the nature of any work to be carried out by the candidate apart from his/her research activity, and the amount and source of any income supplementing the award. A letter of critical appraisal from the Department Head (or institution equivalent) is also required. Co-signed letters will suffice.
- e. A joint letter from the Career Investigator and the Department Head (or institutional equivalent) outlining how the investigator's 75% protected time, and 25% remaining time will be spent, as per the details in section 2(c), above.
- f. **The letters from the Head of the Department and the Dean (or institution equivalents) that will accompany this first renewal should provide assurance that, in the event that the application is successful, the institution will be prepared to assume responsibility for the personnel support of the applicant for the last two and one-half years of the second and final renewal.**
- g. A complete structured lay summary (Section 17) with a clear explanation of how the research proposal is relevant to the mission of the Heart and Stroke Foundation. The lay summary must be written in everyday language (for a general audience) at a level no greater than *Grade 10. The structured lay summary is a **required** section of the application form.

*See the "[Frequently Asked Questions](#)" for more information.

(<http://www.hsf.ca/research/en/open-competitions/competition-faqs.html>)

8) Second and Final Renewal Application

Requirements are the same as those for the first renewal application, with the exception of sections 7b and 7f.

9) Annual Administration Reports

A letter is to be provided to the Foundation annually by April 30 from the Career Investigator and the institution confirming that the details originally provided regarding the investigator's 75% protected time remain unchanged, or alerting the Foundation to specific changes made to the original commitment. This letter must be received annually before funds are released.

10) Final Report

- a. A final report must be submitted to the Heart and Stroke Foundation of Ontario by March 30th of the final year of the award.

(Please note that this final report must also be submitted by March 30th of the final year of the award in cases where an awardee decides not to request a first or second renewal.)

To encourage the awardee to provide this report, the Foundation reserves the right to withhold the stipend for the final three months of the award.

- b. Notwithstanding any other regulation concerning a progress report, any Career Investigator who is also a recipient of a Grant-in-Aid is required to submit only one combined report, in three copies, for both awards.

11) Financial Matters

If a Career Investigator award is granted, the Foundation's obligation is conditional upon the Foundation, in its sole discretion, determining that it has sufficient funds to meet all of its financial requirements. If the Foundation does not advance all or any part of the funds hereby applied for, the applicant releases the Foundation from any claims whatsoever which he/she may have against it as a result of not advancing such funds.

Contact the Heart and Stroke Foundation of Canada at:

Research Department
Heart and Stroke Foundation of Canada
222 Queen Street, Suite 1402
Ottawa, Ontario K1P 5V9

Tel: (613) 569-4361, ext. 305
Fax: (613) 569-3278
E-mail: research@hsf.ca
Internet: www.hsf.ca/research

Contact the Heart and Stroke Foundation of Ontario at

Heart and Stroke Foundation of Ontario
2300 Yonge Street, Suite 1300
Toronto, Ontario M4P 1E4

Tel: (416) 489-7111, ext. 403
Fax: (416) 489-7003
E-mail: pmartin@hsf.on.ca