



Junior Personnel Award Program

Guidelines for Applicants:

2010/2011 Doctoral Research Award

(Fall 2009 Competition)

DOCTORAL RESEARCH AWARD

JUNIOR 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 Doctoral Research Award must be received by the Heart and Stroke Foundation of Canada (HSFC) no later than 16:00 (EDT) on November 1 of each year.

If the deadline falls on a weekend or statutory holiday, HSFC 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 Doctoral Research Award 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 Doctoral Research Award Competition

If three (3) unsuccessful Doctoral Research Award applications have been made, a subsequent application will be considered only if there has been a change in supervisor and/or institution.

5) Competition Results

Results are posted on the HSFC Research website (<http://www.hsf.ca/research>) in mid-April. Official letters are sent at the end of April.

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. Any remaining funds are frozen and cannot be reallocated to other uses. The institution will prepare the final accounting and return outstanding funds to HSFC.

7) Prolonged Absence from Work

The awardee or supervisor will notify HSFC 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 HSFC.

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, 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

HSFC supports only the direct costs of research. No funding is to be used for indirect costs of research (e.g. library, heat and lighting, office furniture, overhead, administrative charges or fees).

14) Publications

Recipients of Personnel Awards must acknowledge the support of the Heart and Stroke Foundation of Canada in all scientific communications and press releases related to their Award. To facilitate the implementation of HSFC's program for knowledge transfer and exchange, we request that HSFC be notified in advance of the publication date of any major publications arising from research funded by HSFC.

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 Summary

HSFC places a high priority on ensuring appropriate lay summaries are submitted as part of each application to ensure the research is aligned with HSF's mission.

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 supervisors, projects, or institutions without the documented permission of HSFC. 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 HSFC should he/she be unable to continue his/her current research program.

The Personnel Award recipient must immediately notify HSFC should he/she relocate outside of Canada. Continued funding is at the discretion of the Foundation.

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 Report

HSFC requires, from the institution, a financial accounting report of all HSF awards, to be received annually no later than August 1.

22) Financial Claims

Invoices or expense claims must be submitted to HSFC no later than thirty (30) days after the termination of the award.

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/Politiques-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 Heart and Stroke Foundation of Canada Doctoral Research Award provides salary support to individuals enrolled in a PhD program and undertaking full-time research training in the cardiovascular or cerebrovascular field. Each application is considered to be a joint submission by the applicant and the identified supervisor, including the development of the research plan.

A limited number of Doctoral Research Awards will be supported by HSFC at any given time.

Doctoral Research Awards are normally tenable in Canadian universities but may, under exceptional circumstances, be awarded to Canadian applicants for study abroad.

A Doctoral Research Award recipient may not be in receipt of another major Personnel award (i.e. from another national funding agency) at the same time as holding a Personnel Award from HSFC. However, an awardee may accept supplemental funding (no greater than 50% of the value of the Heart and Stroke Foundation award), if it is from a local or provincial funding source.

This award becomes tenable July 1 and must begin by January 1 of the year following the announcement of the competition results.

2) Eligibility Criteria

2.1 Minimum Eligibility Criteria

Applicants who do not meet the following minimum criteria (a, b-I, and b-ii) will be removed from the competition:

- a. At the time of submission (November 1), applicants must be enrolled in a graduate program (MSc or PhD).
- b. Applicants must have a minimum of:
 - i) One first or second authored paper published or in press in a peer reviewed journal at the time of submission (note that abstracts are not considered to be a first or second authored publication for the purpose of this requirement); and
 - ii) An overall grade of 80% or A- for graduate level courses.

2.2 Other Eligibility Criteria

- a. Applicants possessing a medical degree and enrolled in a PhD program, but who do not hold a license to practice medicine in a province or territory of Canada, are eligible contingent on meeting the Minimum Eligibility Criteria (2.1a, b-i, and b-ii).
- b. Undergraduate applicants who will be enrolled in a PhD program no later than July 1, of the award year, are eligible contingent on:
 - i) Possessing significant research experience (i.e. have at least one published paper as first author); and
 - ii) Having an excellent academic record (i.e. a minimum fourth year grade of 80% or A-).
- c. Applicants are not eligible to hold a Doctoral Research Award beyond the fifth year of their doctoral training.
- d. Applicants must submit, from the institution, written evidence of being enrolled as a full-time student in a PhD program prior to funds being released.
- e. Applicants must have an identified research supervisor.

3) Evaluation Criteria

All applications undergo peer review by HSFC.

The major criteria in evaluating the applications will be:

- a. The quality of the applicant which includes academic record, research experience and potential, and documented publication(s) (greater consideration will be given to those applicants with at least one first author paper);
- b. The research environment, including the supervisor under whom the applicant intends to work; and,
- c. The quality of the research project.

Refer to Appendix 1 for the Doctoral Research Award review form that will be used during the evaluation of the Doctoral Research Award applications.

4) Tenure

- a. The Award normally commences on July 1 for a period of up to 36 months. Previous awards from other granting agencies will be taken into consideration in calculating the number of years of HSFC support. The term of the award will include reasonable holiday time according to the arrangement with the recipient's supervisor.
- b. The award may be terminated at any time for good cause by the recipient, the sponsoring institution, or HSFC.
- c. The recipient is entitled to a paid maternity or paternity leave of six (6) months. In such cases, tenure of the Award will be extended by six (6) months. The recipient should contact HSFC for further details.
- d. The recipient must immediately notify HSFC should significant changes in research activities occur during the tenure of this award.

5) Stipend and Allowances

- a. The stipend is \$21,000 per annum for a maximum of three (3) years.
- b. An amount of up to \$1,000 per annum is available for travel for scientific purposes with the approval of the supervisor. Additional information will be provided to the recipient.
- c. The recipient may, with the approval of his/her supervisor, engage in and receive remuneration for departmental activities, including undergraduate teaching, that contribute to his/her development as a researcher. These activities must not impinge upon the time dedicated to the proposed research training.

6) Application

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

- One (1) original collated Junior Personnel application copy (HSFC Form R5)
- 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 send additional copies to the provincial Foundation that corresponds to the province in which the research will be conducted, if applicable (according to the table below):

Quantity	Foundations
1	British Columbia & Yukon, Manitoba
2	Prince Edward Island, Saskatchewan

Each copy of the complete application must include:

- a. A one page detailed description of the proposed research, including the rationale, hypothesis, objective and experimental approach and the timeline.
- b. Applicants' undergraduate and graduate academic records with standing (transcripts).

Note: official (original) transcripts must be included in the original application and applicants may include photocopies of the official (original) transcripts in the application copies.

- c. A completed Supervisor Statement form which describes:
 - An overview of the research and academic training environment;
 - Details on resources, programs, technologies, etc. which will be made available to the applicant;
 - Specific knowledge and skills that will be acquired by the applicant; and,
 - Contribution of the applicant to the proposed research including the role of the applicant in relation to others carrying out the proposed research.

The role of all co-supervisors and the estimated percentage of time spent supervising the applicant must be clearly stated in the Supervisor Statement form. Failure to complete all supervisor information renders the application incomplete. HSFC reserves the right to decline incomplete applications.

- d. A printed copy of the supervisor's (and co-supervisor's, if applicable) Common CV form (**HSFC version only**). This is a web-based form, which allows CV information to be entered online (refer to www.commoncv.net for further instructions).
- e. Three (3) letters of recommendation in sealed envelopes with the signature of the referee across the seal. The letters, for which the forms are provided, must describe an evaluation of the applicant's professional and academic capabilities for this award. One (1) letter may be from either the supervisor or co-supervisor. The other two (2) letters must be from individuals under whom the applicant has studied, but who will not be involved in the supervision or evaluation of the applicant's research program. These forms must be attached and included in the application package.
- f. An explanation listing the period and reason for any interruption in pursuit of the applicant's career, if applicable (see Section 15a of the application form).
- g. A detailed justification for conducting research training outside of Canada, including anticipated plans of returning to Canada following the completion of the research training (see Section 15c of the application form).
- h. Complete publication information (see Section 16 of the application form).
- i. A one (1) page progress report describing previous research experience of the applicant (see Section 17 of the application form).
- j. A complete structured lay summary with a clear explanation of how the research proposal is relevant to the mission of HSFC. 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. Three (3) structured lay summary samples can be viewed on the HSFC Research website at: http://www.hsf.ca/research/images/PDF/LaySummary_sample1.pdf; http://www.hsf.ca/research/images/PDF/LaySummary_sample2.pdf; http://www.hsf.ca/research/images/PDF/LaySummary_sample3.pdf.

6.1 CD Submission of Application

The applicant must submit 1 PDF copy of the full application on a CD. The PDF file name should be in the following format: DRA-10 Last name First name (e.g. DRA-10 SmithJohn). The label on the CD should contain the following information.

- Name:
- Program Type: DRA 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. Appendices (if applicable) should appear after page 11. HSFC will attach a copy of the referee assessment forms 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:

- Applicant's publications (page 4)
- Supervisor's Statement (page 7)
- Lay summary (page 8)
- Research proposal (page 10)
- Supervisor's CV

Please note the page numbers 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 (<http://www.hsf.ca/research/en/guidelines-for-applicants/guidelines-for-applicants.html>).

7) Monitoring Progress

A progress report (lay language and standard scientific language) must be submitted annually to HSFC no later than one (1) month following the end of each funding year (e.g. award start date is July 1, 2009, the first progress reports are due August 1, 2010). The Report template is available at <http://www.hsf.ca/research/en/application-forms/application-forms.html>.

Continuation of the Award is contingent upon HSFC receiving the progress report.

8) Final Report

A final report (lay language and standard scientific language) must be submitted to HSFC no later than one (1) month after completion/termination of the award (e.g. award ends June 30, 2010, the final report is due August 1, 2010). The Report template is available at <http://www.hsf.ca/research/en/application-forms/application-forms.html>.

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. 257
Fax: (613) 569-3278
E-mail: research@hsf.ca
Internet: www.hsf.ca/research

APPENDIX 1 / ANNEXE 1

Review Summary / Résumé de l'évaluation

A	Applicant / Candidat (50%)	
B	Supervisor and Research Environment / Directeur et environnement de recherche (35%)	
C	Research Project / Projet de recherche (15%)	
D	Total / Totale (100%)	(Lines A + B + C)
E	Overall Rating / Note globale (5.0)	(Line D ÷ 20)

NOTE / REMARQUE : 1. Canadian citizenship or landed immigrant status is not a requirement in this application. / La citoyenneté canadienne ou le statut d'immigrant reçu n'est pas requis dans le cadre de cette demande. 2. The reviewer may choose to sign the review or remain anonymous. / L'examineur a le choix de signer l'évaluation ou de demeurer anonyme.

1. Relevance / Pertinence

Is this research project relevant to the mission of the Heart and Stroke Foundation of Canada?

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.

Est-ce que la recherche de ce projet est pertinente à la mission de la Fondation des maladies du cœur du Canada?

Un organisme bénévole de bienfaisance en santé, la Fondation des maladies du cœur mène la lutte vers l'élimination des maladies du cœur et des accidents vasculaires cérébraux (AVC), en contribuant activement à l'avancement de la recherche et sa mise en application, la promotion de modes de vie sains et la représentation auprès des instances responsables des politiques de santé.

Yes / oui

No / non

2. Detailed Review / Commentaires détaillés

A	Applicant / Candidat (/50)	
	i) Academic Record and Research Experience and Potential / Dossier académique et expérience et potentiel en recherche (/20)	
	Insert comments below / Insérer vos commentaires au-dessous : <div style="background-color: #cccccc; height: 20px; width: 100%;"></div>	
	ii) Documented publications / Publications documentées (/30)	
	<p>NOTE: The range for each category is <u>not</u> an additive score, but rather a guide to provide a scale for weighting the different types of publications. The score given to the publication cannot exceed 30%. Weight varies depending on publications for example as:</p> <ul style="list-style-type: none"> ➤ 1st author (from 0 to 30%); ➤ 2nd author (from 0 to 18%) ➤ 3rd, 4th, etc., and co-authored/reviews (from 0 to 5%) ➤ Abstracts (maximum value is 5%) 	

<p>REMARQUE : La note de chaque catégorie <u>n'est pas</u> une note additive, mais sert plutôt de guide et d'échelle de pondération des divers types de publications. Le pointage accordé à la publication ne peut dépasser les 30 %.</p> <p>La pondération dépend du nombre de publications en qualité, par exemple :</p> <ul style="list-style-type: none"> ➤ Auteur principal (note complète de 30 %) ➤ Deuxième auteur (valeur maximale de 18 %) ➤ Troisième, quatrième, etc., et co-auteur / réviseur (valeur maximale de 5 %) ➤ Résumés (valeur maximale de 5 %) 	
<p>Insert comments below / Insérer vos commentaires au-dessous :</p> <p>■</p>	
<p>Total / Totale (50%) (Lines i + ii)</p>	
B	Supervisor and Research Environment / Directeur et environnement de recherche (/35)
<p>i) Supervisor / Directeur (/20)</p> <p>Consider the following components / Tenir compte des éléments suivants :</p> <ul style="list-style-type: none"> ➤ Grant funding / Financement de la subvention ➤ Publication with students / Publication avec les étudiants ➤ Students in the lab (mentorship) / Étudiants au laboratoire (mentorat) 	
<p>Insert comments below / Insérer vos commentaires au-dessous :</p> <p>■</p>	
<p>ii) Environment / Environnement (15%)</p>	
<p>Insert comments below / Insérer vos commentaires au-dessous :</p> <p>■</p>	
<p>Total / Totale (35%) (Lines i + ii)</p>	
C	Research Project / Projet de recherche (/15)
<p>Insert comments below / Insérer vos commentaires au-dessous :</p> <p>■</p>	
<p>Total / Totale (15%)</p>	
D	Total / Totale (/100) (Lines A + B + C)
E	Overall Rating / Note globale (/5.0) (Line D ÷ 20)
<p>Recommendations / Recommandations:</p> <p>■</p>	