



Senior Personnel Award Program

Guidelines for Applicants:

2010/2011 New Investigator / Distinguished Clinician Scientist Award

(Fall 2009 Competition)

NEW INVESTIGATOR and DISTINGUISHED CLINICIAN SCIENTIST

SENIOR PERSONNEL

Distinguished Clinician Scientist:

HSFC is now offering a *Distinguished Clinician Scientist* award as an integral part of the New Investigator competition. This award, which is partnered this year with CIHR Institute of Circulatory and Respiratory Health, will be offered to the highest ranked eligible clinician in the New Investigator competition. The Distinguished Clinician Scientist award carries a higher stipend than the New Investigator award, plus an additional research allowance. Applicants wishing to be considered for this award should check the appropriate box in the Senior Personnel application form. Candidates applying for the Distinguished Clinician Scientist award will also be considered in the regular pool of New Investigator applicants. Guidelines for application are identical to New Investigator except where otherwise indicated. In 2010, HSFC anticipates offering one award, contingent on identifying an excellent candidate.

TABLE OF CONTENTS

A. GENERAL INFORMATION3

1) HSF Mission Statement3

2) Application Submission Deadline3

3) Incomplete/Unacceptable Applications3

4) Re-Applying to the New Investigator Competition3

5) Competition Results3

6) Closing of Award.....3

7) Prolonged Absence from Work.....3

8) Non-Employee Status.....3

9) Privacy Information4

10) Public Information4

11) Ethical Requirements4

12) Patent Rights4

13) Indirect Costs.....4

14) Publications4

15) Four Themes of Health Research5

16) Lay Reviewers5

17) Multiple Submissions.....5

18) Transfer of Award5

19) Status of Publications6

20) Partial Awards.....6

21) Financial Report.....6

B. RESEARCH INTEGRITY POLICY7

C. SPECIFIC PROGRAM INFORMATION8

1) Description.....8

2) Eligibility Criteria8

3) Evaluation Criteria9

4) Tenure	9
5) Stipend and Allowances	9
6) Application	10
7) Monitoring Progress.....	11
8) Final Report	11
9) Special Awards	11
Contact the Heart and Stroke Foundation of Canada	12

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 New Investigator award must be received by the Heart and Stroke Foundation of Canada (HSFC) no later than 16:00 (EDT) on September 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 New 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 New Investigator Competition

If three (3) unsuccessful New 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 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 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 Reviewers

HSFC incorporates lay reviewers on Scientific Review 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 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.

Relocating outside of Canada will result in the termination of the New Investigator or Distinguished Clinician Scientist 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 Report

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

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 New Investigator award provides salary support to individuals who have clearly demonstrated excellence during their doctoral and post-doctoral training in cardiovascular or cerebrovascular research.

A limited number of New Investigator awards will be supported by the HSFC at any given time.

Applicants wishing to be considered for the Distinguished Clinician Scientist award should check the appropriate box in the Senior Personnel application form. Candidates applying for this award will also be considered in the regular pool of New Investigator applicants. This award, which is partnered this year with CIHR Institute of Circulatory and Respiratory Health, will be offered to the highest ranked eligible clinician in the New Investigator competition. The Distinguished Clinician Scientist award carries a higher stipend than the New Investigator award, plus an additional research allowance. Guidelines for application are identical to New Investigator except where otherwise indicated.

A New Investigator or Distinguished Clinician Scientist 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. Likewise, an awardee may not concurrently hold a Canada Research Chair and a HSFC New Investigator or Distinguished Clinician Scientist award. 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.

All awards become tenable July 1 following the announcement of the competition results.

2) Eligibility Criteria

2.1 General – New Investigator

- a. The applicant has clearly demonstrated the potential to become an independent investigator.
- b. At the time of submission, no more than five (5) years may have passed since the date of the first faculty appointment.
- c. Applications for this award must be supported by the university or institution at which the applicant will conduct the proposed research. The university or institution is expected to guarantee the applicant appropriate academic rank and to provide adequate space and facilities for the investigator's research, commensurate with the status of the individual's experience and level of support by HSFC.
- d. The applicant must have an MD, PhD, or equivalent degree.
- e. The Dean and Department Head (or institutional equivalents) must guarantee at least 75% of the applicant's time allocated to the proposed research.
- f. The applicant must hold a Grant-in-Aid in support of the proposed research at the time of this award; such grant(s) may be from the Heart and Stroke Foundation and/or other granting agencies. The research grant support has the following additional requirements:
 - i) For each year of the five (5) years of the award, the recipient must be a Principal Investigator on a peer-reviewed grant, irrespective of the amount of the grant.
 - ii) The recipient must have at least \$30,000 per year of research funding for which he/she can either be principal or co-investigator.
 - iii) For years one (1) and two (2) of the award, the recipient must have at least \$30,000 per year of research funding, originating from peer-reviewed and non-peer-reviewed sources.

- iv) For years three (3), four (4) and five (5) of the award, the recipient must have at least \$30,000 per year of peer-reviewed funding, originating from peer-reviewed sources.

2.2 Specific – Distinguished Clinician Scientist

In order to be eligible for the Distinguished Clinician Scientist award, candidates must fulfill the following criterion in addition to applicable general criteria for New Investigator:

Applicants must hold a current license to practice in a regulated health discipline, such as but not limited to nursing, social work, pharmacy, physiotherapy, occupational therapy, respiratory therapy, speech-language pathology, nutrition, dentistry and medicine. Applicants must be actively involved in clinical practice.

NOTE: The successful applicant's research may have to align with funding partner(s)' priorities in order to be eligible. Whenever possible, the specific priorities of funding partners will be outlined on the HSFC Research website (<http://www.hsf.ca/research>) at the time of guideline posting. Candidates who meet other eligibility criteria, however, are encouraged to apply—no matter what their area of CVD research, as additional partners may be recruited.

3) Evaluation Criteria

- a. All applications undergo peer review by HSFC.
- b. The major criteria in evaluating the applications will be:
 - i) Academic and research background of the applicant;
 - ii) Research environment; and,
 - iii) The quality of the research project.

4) Tenure

- a. The award will be for a period of five (5) years. The award cannot be renewed for a second term.
- b. The recipient will be considered as an employee of the sponsoring university or institution and funds granted will be paid to the institution for payment to the recipient. The recipient will enjoy the benefits of a full-time member of the staff with respect to pension, insurance and other plans according to the university or institution's policies.
- c. The award may be terminated at any time for good cause by the recipient, the sponsoring institution, or HSFC.
- d. The award commences July 1 and the recipient will devote the ensuing five (5) years to the objectives of the award. This period includes vacation as per the institute's policy.
- e. During tenure of this award, the recipient may not sit for a specialty qualifying examination without permission from HSFC.
- f. 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 for the New Investigator is \$60,000 per annum, including the employer's share of fringe benefits, for a maximum of five (5) years. There are no additional allowances.
- b. The stipend and supplementary research grant for the Distinguished Clinician Scientist award are:
 - i) Stipend: \$75,000 per annum, including the employer's share of fringe benefits, for five (5) years.

- ii) Supplementary research allowance: \$25,000 per annum for five (5) years. The allowance is to be used at the discretion of the awardee for direct costs of research. This is additional to research grant support already obtained as described above in section C-2.1 f.
- c. HSFC imposes no restriction on the additional income the New Investigator or Distinguished Clinician Scientist awardee may earn, provided it is within the guidelines of the sponsoring university or institution and that such activity does not impinge upon the time dedicated to the proposed research.

6) 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.

Each copy of the complete application must include:

- a. A letter co-signed by the Dean and Department Head (or institutional equivalents) confirming that the applicant will have 75% of his/her time allocated to the proposed research. The letter must clearly describe details on:
 - How this 75% allocation of research time will be spent;
 - Commitments for the remaining 25%;
 - Critical appraisal of the applicant; and,
 - Critical appraisal of the proposed research.
- b. Three (3) letters of recommendation in sealed envelopes with the signature of the referee across the seal. The letters must evaluate the applicant's:
 - Professional and academic capabilities for this award;
 - Personal attributes;
 - Research potential; and,
 - Alignment of the overall research program with the mission of HSFC.

The letters must be from professors or instructors under whom the applicant has received training. These forms must be attached and included in the application package.

- c. An abstract of the proposed research.
- d. A detailed description of the proposed research, including identifying the applicant's role and how the execution of the research plan contributes to the applicant's development as an independent researcher.
- e. 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.

- f. A printed copy of the applicant's 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).

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: NI Last nameFirst name (e.g. NI SmithJohn). The label on the CD should contain the following information.

- Name:
- Program Type: NI 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 (<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 to HSFC no later than August 1 of the third (3rd) year of the award. The Report template is available at <http://www.hsf.ca/research>.

Continuation of the award is contingent upon receipt of the progress report.

8) Final Report

A final report (lay language and standard scientific language) must be submitted to HSFC no later than August 1 following the final year in which the award is held. The Report template is available at <http://www.hsf.ca/research>.

9) Special Awards

McDonald Scholarship

The McDonald Scholarship is awarded to the highest rated New Investigator. The McDonald Scholar will be awarded an additional research allowance of \$15,000 in the first year of the award.

Henry J.M. Barnett Scholarship

The Henry J.M. Barnett Scholarship is awarded to a highly rated New Investigator working in stroke or a related field. The Henry J.M. Barnett Scholar will be awarded an additional research grant of \$15,000 in the first year of the award.

Contact the Heart and Stroke Foundation of Canada at:

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