

2014/2015

Research Fellowship Submission Guidelines

(November 2013 Competition)

July 15, 2013

Junior Personnel Award Programs

Table of Contents

A. General Information	1
1) Our Vision.....	1
2) Application Submission Deadline.....	1
3) Incomplete/Unacceptable Applications	1
4) Re-Applying to the Research Fellowship Competition.....	1
5) Competition Results	1
6) Closing of Award	1
7) Prolonged Absence from Work	1
8) Non-Employee Status	1
9) Privacy Information	2
10) Public Information	2
11) Ethical Requirements	2
12) Indirect Costs	2
13) Open Access to Research Outputs Policy	2
14) Publications	3
15) Four Themes of Health Research.....	3
16) Lay Reviewers.....	3
17) Multiple Submissions	3
18) Transfer of Award.....	4
19) Status of Publications.....	4
20) Maximum Number of Personnel Awards per Supervisor/Mentor.....	4
21) Partial Awards	4
22) Financial Report	4
23) Financial Claims.....	4
B. Research Integrity Policy	5
C. Specific Program Information	6
1) Description	6
2) Eligibility Criteria.....	6
3) Evaluation Criteria	8
4) Tenure	8
5) Stipend and Allowances.....	8
6) Application.....	9
7) Monitoring Progress	11
8) Final Report.....	11
Contact the Heart and Stroke Foundation at:	11

A. General Information

1) Our Vision

Healthy lives free of heart disease and stroke. Together we will make it happen.

2) Application Submission Deadline

Applications for the Research Fellowship competition must be received by the Heart and Stroke Foundation (HSF) no later than 16:00 (EDT) on November 1, 2013.

If the deadline falls on a weekend or statutory holiday, HSF must receive the application no later than 16:00 on the previous Friday.

Applications received after the deadline will be considered late even if they are courier-stamped on the deadline date. Please note that while courier services may guarantee next day delivery, there are cut off times for these services that may not be advertised. It is the responsibility of the applicant to ensure that application packages and items arriving separately are delivered to HSF before the deadline.

HSF 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 Research Fellowship 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 Research Fellowship Competition

If two (2) unsuccessful Research Fellowship 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 HSF Research website (www.hsf.ca/research/) in May. Official letters are also sent in May.

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 will be frozen and cannot be reallocated to other uses. The institution will prepare the final accounting and return outstanding funds to HSF.

7) Prolonged Absence from Work

The awardee or supervisor will notify HSF 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 HSF.

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 will ensure accurate identification of applicants and may be used by HSF for statistical purposes. This information will NOT be transmitted to any entity outside of the Heart and Stroke Foundation without the applicant's consent.

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 HSF, applicants undertake the responsibility to ensure any experimentation will be acceptable to the institution on ethical grounds and comply with the following guidelines and host institution research policies, as applicable:

Applicants must ensure all experiments comply with the following guidelines and host institution research policies, as applicable:

- Tri-Council Policy Statement: *Ethical Conduct for Research Involving Humans*¹.
- Good Clinical Practice (GCP).
- Good Laboratory Practice (GLP).
- In the case of laboratory animal experimentation, the guiding principles and standards enunciated by the Canadian Council on Animal Care².
- Guidelines and standards for biological and chemical hazards as outlined in the Public Health Agency of Canada *Laboratory Biosafety Guidelines*³.
- Any research involving human pluripotent stem cells must adhere to the CIHR *Guidelines for Human Pluripotent Stem Cell Research*⁴. The institution must notify HSF as to the results of the review by the CIHR's Stem Cell Oversight Committee.

12) Indirect Costs

The HSF supports only the direct costs of research. No funding is to be used for indirect costs of research. The definition of indirect costs of research for the purposes of this policy is, costs which cannot be directly associated with a particular research program or operating grant including costs associated with the general operation and maintenance of facilities (from laboratories to libraries); the management of the research process (from grant management to commercialization); and regulation and safety compliance (including human ethics, animal care and environmental assessment).

13) Open Access to Research Outputs Policy

HSF requires that all researchers supported in whole or in part through HSF make their research outputs publicly available as soon as possible but no later than six months after the final publication or availability of results. In this policy, HSF defines research outputs as peer-reviewed journal publications, research data, and the results of clinical trials that will not be published in peer-reviewed journals. Compliance with the *Open Access to Research Outputs* policy is a condition of acceptance of all HSF research funding.

¹ See www.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/ for details.

² See www.ccac.ca/en/_standards/guidelines for details.

³ See www.phac-aspc.gc.ca/lab-bio/res/blk-acb/lbg-ldmbl-eng.php for details.

⁴ See www.cihr-irsc.gc.ca/e/42071.html for details.

Please see HSF's Open Access to Research Outputs available at: www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines.

14) Publications

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

15) Four Themes of Health Research

Research Fellowship applicants must estimate what proportion of the proposed research and proposed project budget falls under the four health research themes. This data is gathered for Foundation use only.

The four (4) themes of health research as defined by the Canadian Institutes of 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.

Social, Cultural, Environmental and 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 health status.

16) Lay Reviewers

HSF incorporates lay reviewers on Scientific Review Committee (SRC) panels in order to increase accountability and transparency of the HSF review process and to ensure the research is aligned with its goals and mission. HSF places a high priority on ensuring appropriate lay summaries are submitted as part of each application. If the application is accepted for funding and the lay summary is identified as unsatisfactory, funds will be encumbered pending receipt of a satisfactory lay summary.

17) Multiple Submissions

Multiple submissions from Personnel Award applicants are not permitted. Where partnership programs are in place, the applicant must contact HSF 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 HSF. 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 HSF should he/she is unable to continue his/her current research program.

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

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 confirming acceptance of a publication of must be received by the Foundation no later than January 2 of each year.

20) Maximum Number of Personnel Awards per Supervisor/Mentor

The HSF will not fund more than four Personnel Awards per supervisor/mentor at one time. This does not include persons supported by provincial Heart and Stroke Foundation awards or other granting agencies.

21) Partial Awards

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

22) Financial Report

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

23) Financial Claims

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

B. Research Integrity Policy

The primary objective of HSF'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. HSF agrees with and has adopted the basic policies and recommendations outlined in the Tri-Agency Framework: *Responsible Conduct of Research*⁵. As a condition of funding, all HSF grant and award recipients agree to comply with the Principles and Responsibilities set out in that policy, and the research misconduct provisions below.

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

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

- Any allegation of scientific misconduct will be initially reviewed by HSF to determine whether an investigation is warranted. If it is felt that an investigation is required, HSF 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 HSF.
- HSF 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, HSF 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 www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/. The Tri-Agency Framework: *Responsible Conduct of Research* 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.

C. Specific Program Information

1) Description

1.1 Research Fellowship

The Heart and Stroke Foundation Research Fellowship is an "in-training" award intended for individuals with (or expecting) a degree at a doctoral level (e.g. PhD, MD, BM, DDS, DVM, or equivalent degree). The objective of this award is to attract and foster young investigators to initiate and/or continue research training in the cardiovascular or cerebrovascular field. Each application, including the development of the research plan, is considered to be a joint submission by the applicant and the identified supervisor.

Research Fellowship awards are normally tenable in Canadian universities but may be awarded to Canadian citizens for study abroad. In these circumstances, detailed justification must be provided by the applicant and will be reviewed for eligibility. Non-Canadian citizens must conduct their training at a Canadian institution.

A Research Fellowship awardee 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 HSF. 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.

1.2 The 4th ICPC/HSF/CCS Fellowship in Preventive Cardiology

This special fellowship is intended for applicants who wish to undertake post-graduate training in preventive cardiology in a recognized institution in Canada or abroad. Preventive cardiology includes the study of the individual and population causes of cardiovascular (CVD), cerebrovascular (CBD) and peripheral vascular disease (PVD); the epidemiology of CVD, CBD and PVD; and the development and evaluation of primary, secondary and tertiary prevention measures for CVD, CBD and PVD at the individual or population level. Primary prevention refers to measures taken to prevent the appearance of disease; secondary prevention refers to the prevention of recurrences; and tertiary prevention deals with the prevention of complications of disease, the limitations of severity and includes rehabilitation. Economic analyses of preventive practices, studies of public policy, clinical epidemiology and studies of the social and behavioural determinants of risk factors and disease are also eligible. The object of study must be individual humans or human populations. For more information on this award see the HSF Research website: www.hsf.ca/research/en/node/118.

Applicants wishing to be considered for this award must check the *Other program* box and specify the program name in the Junior Personnel application form. Applicants applying for the 4th ICPC/HSF/CCS Fellowship in Preventive Cardiology award will also be considered in the regular pool of Research Fellowship applicants.

2) Eligibility Criteria

2.1 Specific – Research Training / Experience

For the purpose of this funding opportunity, interruptions, delays, or post-degree clinical training in your post-PhD or MD cumulative experience may be taken into account in determining eligibility if detailed information and documentation on the interruption, including specific dates, is provided. Please note that personal absences such as parental leave or medical issues are considered eligible interruptions. Personal career choices such as professional or independent work experience and

certain elective leaves (ie.vacation, etc.) are not considered eligible interruptions. HSF uses the date of doctorate level degree completion to determine applicant eligibility and post-degree experience. This is the date on which all requirements of your degree have been met, including successful defense and submission of the corrected copy of your thesis.

- a. **Applicants with a PhD degree** are eligible for this award, however they must not have completed more than four (4) years of post-PhD research experience as of July 1 of the award year.
- b. **Applicants with a health professional degree at doctoral level (e.g. MD, BM, DDS, DVM, and PharmD); or other regulated accredited health professionals who have a PhD) who hold a license to practice in a province or territory of Canada,** are eligible for this award, however they must not have completed more than five (5) years of post degree experience as of July 1 of the award year. Undergraduate and a standard length of residency training are not considered as post-degree experience. This eligibility also applies to applicants who hold a PhD degree **and** a health professional degree (with a license to practice).
- c. **Applicants with a health professional degree at doctoral level (e.g. MD, BM, DDS, DVM, and PharmD); or other regulated accredited health professionals who have a PhD) who do not hold a license to practice in a province or territory of Canada,** are eligible for this award, however they must not have completed more than four (4) years of post degree experience as of July 1 of the award year. Undergraduate and a standard length of residency training are not considered as post-degree experience. This eligibility also applies to applicants who hold a PhD degree **and** a health professional degree (with no license to practice).

2.2 Other Eligibility Criteria

- a. Applicants with a foreign MD/PhD and enrolled in a doctoral program are not eligible for this award.
- b. Applicants with a medical degree and enrolled in a doctoral program, but who do not hold a license to practice in a province or territory of Canada, are not eligible to apply for this award.
- c. Applicants wishing to undertake post-PhD training in the same department in which they received their doctoral training or with the same PhD supervisor must provide strong justification. Details outlining these circumstances should be presented in Section 15b and will be reviewed for eligibility.
- d. Clinical, non-research focused fellowships are not eligible.
- e. Applicants training in clinical research will be considered only if it is clear from the application that at least 75% of the applicant's time and effort will be devoted to the research project(s) and clinical activities upon which the research project(s) is/are immediately dependent
- f. Applicants with a medical degree who hold a license to practice medicine in a province or territory of Canada are eligible for this award in support of their MSc or PhD degree studies.
- g. Applicants may not hold or have held a prior North American, or equivalent, faculty appointment (i.e. tenure track or full time appointment).
- h. Individuals who have held an HSF Doctoral Research Award (pre-PhD) are not precluded from applying for a Research Fellowship award.
- i. Individuals are eligible to receive only one (1) Research Fellowship from HSF during their research training. This includes awards through the HSF open competition and strategic initiative.

3) Evaluation Criteria

All applications undergo peer review by HSF.

The major criteria in evaluating the applications will be:

- a. The quality of the applicant (documented publication(s), research experience and potential, and reference letters);
- b. The proposed supervisor and research environment, including grant funding, mentorship and environment; and
- c. The quality of the research project.

Note: A significant portion of the evaluation will be based on the applicant's merit. Should any significant changes to an application occur from the time of submission to award notification, HSF reserves the right to withdraw that application from the competition.

4) Tenure

- a. The award normally commences on July 1 for a period of up to 36 months depending on the degree(s) held by the recipient (see Section 5 below). Previous awards from other granting agencies will be taken into consideration in calculating the number of years of HSF support. The term of the award will include reasonable holiday time according to the arrangement with the supervisor.
- b. The award may be terminated at any time for good cause by the recipient, the sponsoring institution, or HSF.
- c. Awardees may not hold a faculty appointment. The Research Fellowship award will be terminated upon receipt of a faculty appointment.
- d. During tenure of this award, the recipient may not sit for a specialty qualifying examination without permission from HSF.
- e. The recipient is entitled to a paid parental leave of six (6) months. In such cases, tenure of the award will be extended by six (6) months. The recipient can view the HSF parental leave guidelines at hsf.ca/research/en/node/53 for further details.
- f. The recipient must immediately notify HSF should significant changes in research activities occur during the tenure of this award.
- g. Awardees must dedicate at least 75% of their time to the proposed research.

5) Stipend and Allowances

- a. The stipend and duration of support are indicated in the following table:

Degree(s) Held by Recipient	Stipend (CDN \$)	Maximum Duration of Support (Years)
MD, BM, DDS, DVM, and PharmD; or other regulated accredited health professionals, or paramedics who have a PhD), who hold a license to practice in the Canadian province or territory where they will conduct their research training.	\$50,000	3

MD, BM, DDS, DVM, and PharmD; or other regulated accredited health professionals, or paramedics who have a PhD), who do <u>not</u> hold a license to practice in the Canadian province or territory where they will conduct their research training.	\$40,000	2
PhD	\$40,000	2

- b. An amount of up to \$1,500 per year is available for travel for scientific purposes with the approval of the supervisor. The recipient can view the HSF travel guidelines at hsf.ca/research/en/node/52 for further information.
- 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:

- One (1) original version of the completed Junior Personnel application (HSF Form R5).
- One (1) collated copy of the completed Junior Personnel application.
- One (1) CD containing one (1) PDF file of the complete application submission. Please refer to section 6.1 for the required structure and format of the PDF file.

Each copy of the complete application must include:

- a. A two (2) page detailed description of the proposed research, including the rationale, hypothesis, objective and experimental approach and the timeline.
- b. 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.

If applicable: 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 supervisory information renders the application incomplete. HSF reserves the right to decline incomplete applications.

- c. A printed copy of the supervisor's (and co-supervisor's, if applicable) Common CV form (**HSF version only**). This is a web-based form, which allows CV information to be entered online (refer to www.commoncv.net for further instructions).

- d. Three (3) letters of recommendation and assessment forms in sealed envelopes with the signature of the referee across the seal. The letters, for which the forms are provided at the end of the application, must describe and evaluate 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. The three (3) sealed envelopes (each containing one (1) letter and one (1) assessment form) must be attached and included in the application package.

*Note: If letters of recommendation arrive separately from the application package, it is the responsibility of the applicant to ensure that the documents arrive before the deadline, signed and sealed. HSF reserves the right to exclude letters of recommendation and assessment forms that arrive late or without the signature of the referee across the seal.

- e. 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.
- f. A detailed justification of undertaking post-PhD training in the same department in which the applicant received his/her doctoral training or with the same PhD supervisor (if applicable). See Section 15b of the application form.
- g. If applicable, 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). Applicants are encouraged to summarize their research experience and may discuss progress made on the proposed research project or experience from other research projects.
- j. A complete structured lay summary with a clear explanation of how the proposed research is relevant to heart disease and/or stroke. 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 HSF Research website at:

www.hsf.ca/research/sites/default/files/LaySummary_sample1.pdf;

www.hsf.ca/research/sites/default/files/LaySummary_sample2.pdf;

www.hsf.ca/research/sites/default/files/LaySummary_sample3.pdf.

6.1 CD Submission of Application

The applicant must submit one (1) PDF copy of the full application on a CD. The PDF file name should be in the following format: RF-14 Last nameFirst name (e.g. RF-14 SmithJohn). The label on the CD should contain the following information.

- Name:
- Program Type: RF 2014/2015
- Title of Research Proposal:
- Date:

The PDF must 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. HSF will attach copies of the letters of recommendation and 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.

Mac Users: Ensure that the CD is created for viewing on a PC.

7) Monitoring Progress

A progress report must be submitted annually to HSF no later than one (1) month after the start date of the award (e.g. award start date is July 1, 2014, the first progress report is due August 1, 2015). The progress report template is available at hsf.ca/research/en/node/18.

Continuation of the award is contingent upon HSF receiving a completed progress report.

8) Final Report

A final report must be submitted to HSF no later than one (1) month after completion/termination of the award (e.g. award ends June 30, 2016, the final report is due August 1, 2016). The final report template is available at hsf.ca/research/en/node/18.

Contact the Heart and Stroke Foundation at:

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Heart and Stroke Foundation
222 Queen Street, Suite 1402
Ottawa, Ontario K1P 5V9

Tel: (613) 569-4361, ext. 276
Fax: (613) 569-3278
Email: research@hsf.ca
Website: www.hsf.ca/research