

2014/2015

Research Scholarship Submission Guidelines

(November 2013 Competition)

July 15, 2013

Junior Research Career Award Program

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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 Scholarship award 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 (EDT) 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 Scholarship 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 Scholarship Competition

If two (2) unsuccessful Research Scholarship applications have been made, a subsequent application will be considered only if there has been a change in mentor 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 are 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 mentor 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

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/publicat/lbg-ldmbi-04/index.html for details.

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

the *Open Access to Research Outputs* policy is a condition of acceptance of all HSF research funding. 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 Scholarship 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 for 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 mentors, 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 be unable to continue his/her current research program.

Relocating outside of Canada will result in the termination of the Research Scholarship 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) 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

The Heart and Stroke Foundation Research Scholarship is a salary award intended for applicants with a Masters and/or Doctorate degree and with credential(s) in a regulated accredited health discipline. The objective is to attract and foster cardiovascular or cerebrovascular investigators from a variety of health disciplines. Each application, including the development of the research plan, is considered to be a joint submission by the applicant and the identified mentor.

A Research Scholar 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. Likewise, an awardee may not concurrently hold a Canada Research Chair and a HSF Research Scholarship 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.

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

- a. Applicants must have a Master and/or Doctorate degree with credentials in a regulated accredited health discipline such as, but not limited to nursing, social work, pharmacy, physiotherapy, occupational therapy, respiratory therapy, speech-language pathology, nutrition, dentistry and medicine.
- b. A high percentage (at least 60%) of the applicants' research must focus on applied research areas, in any one of the following three (3) themes of health research: clinical, health services/systems, and population health.
- c. Applicants must hold, or have a commitment to hold no later than July 1 of the award year, a faculty position from an accredited university in Canada. For applicants with a faculty appointment pending, the Research Scholarship award is contingent upon HSF receiving written confirmation of the faculty appointment from the Canadian university.
- d. As of July 1 of the award year, applicants must not have completed more than five (5) years of post-doctorate research experience. Undergraduate health sciences training and residency training are not considered as research experience.
- e. Applicants must have an identified research mentor, who is located in a Canadian university where the research will be undertaken.
- f. The Dean and Department Head (or institutional equivalents) must guarantee that at least 75% of the applicant's time is allocated to the proposed research and the applicant teaches a maximum equivalent of one (1) three (3) credit course per term. Supervision of graduate students relevant to the applicant's program of research is encouraged.
- g. Applicants must have access to adequate research funding (internal or external) or infrastructure to ensure that they obtain funding in order to carry out research. It is expected that, at a minimum, awardees join a project team as a co-applicant by the end of year one (1) of the award.
- h. Individuals are eligible to receive only one (1) Research Scholarship from HSF. This includes awards through the HSF open competition and strategic initiative.

3) Evaluation Criteria

- a. All applications undergo peer review by HSF.
- b. The major criteria in evaluating the applications will be:
 - i) The quality of the applicant (documented publications(s), research experience, productivity and potential, and reference letters);
 - ii) The research environment, including the mentor with whom the applicant intends to work; and,
 - iii) The quality of the proposed research program and overall research plan, including a timeline.

4) Tenure

- a. The award will be for a period of two (2) years. The award cannot be renewed for a second term.
- b. The award may be terminated at any time for good cause by the recipient, the sponsoring institution, or HSF.
- c. The recipient will be entitled to a parental leave according to his/her university's standard leave policy; however, HSF does not provide financial aid to awardees for parental leave. In such cases, tenure of the award will be extended by the length of the leave granted by the university.
- d. During tenure of this award, the recipient may not sit for a specialty qualifying examination without permission from HSF.
- e. The recipient must immediately notify HSF should significant changes in research activities occur during the tenure of this award.

5) Stipend and Allowances

- a. The stipend is \$45,000 per annum for a maximum of two (2) years and the research allowance is \$5,000 per annum for a maximum of two (2) years. The recipient can view the HSF research allowance guidelines at hsf.ca/research/en/node/52 for further information.
- b. HSF imposes no restriction on the additional income the Research Scholarship 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:

- One (1) original collated Research Scholarship application copy (HSF Form R6)
- One (1) collated copy of the completed Research Scholarship application.
- 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 four (4) page detailed description of the proposed research, including how the proposed research fits with the overall research plan. Applicants are to include related research activities and timelines.
- b. A completed Mentor Statement form which describes:

- An overview of the research and academic training environment;
- Details on how the mentorship will take place;
- 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-mentors and the estimated percentage of time spent mentoring the applicant must be clearly stated in the Mentor Statement form. Failure to complete all mentor information renders the application incomplete. HSF reserves the right to decline incomplete applications.

- c. A copy of the mentor's and applicant's 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. 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; and
 - Commitments for the remaining 25%.
- e. Three (3) assessment forms and letters of recommendation 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 mentor or co-mentor. The other two (2) letters must be from individuals under whom the applicant has studied, but who will not be involved in the mentorship 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 recommendations and assessment forms that arrive late or without the signature of the referee across the seal.
- f. An explanation listing the period and reason for any interruption in the applicant's career (if applicable). See Section 14 of the application form.
- g. An abstract of the proposed research.
- h. A one (1) page report summarizing previous research experience of the applicant. See Section 16 of the application form.
- i. A complete structured lay summary with a clear explanation of how the proposed research is directly 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: RS-14 Last nameFirst name (e.g. RS-14 SmithJohn). The label on the CD should contain the following information.

- Name:
- Program Type: RS 2014/2015
- Title of Research Proposal:
- 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. proposed research (item #21) should be inserted directly after item #21 in the application, not at the end. Appendices (if applicable) should appear after after page 11. HSF 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:

- 1 page Summary (page 3)
- Mentor Statement (page 6)
- Lay Summary (page 7)
- Proposed Research (page 9)
- CV Applicant Last name (CV Smith)
- CV Applicant Publications Last name (CV Publications Smith)
- CV Mentor Last name (CV Jones)
- CV Mentor Publications Last name (CV Publications Jones)

Please note the page numbers and examples 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 to HSF no later than one (1) month following the end of the first funding year (e.g. award start date is July 1, 2014, the 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 receipt of 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

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