2014/2015

New Investigator Submission Guidelines

(Fall 2013 Competition)

June 28, 2013
# Senior Personnel Award Programs

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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 New Investigator award must be received by the Heart and Stroke Foundation (HSF) no later than 16:00 (EDT) on August 29, 2013.

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 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 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 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 the Foundation.

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) 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.
10) 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 Care\(^2\).
- 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 HSFC as to the results of the review by the CIHR’s Stem Cell Oversight Committee.

11) 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).

12) 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. Please see HSF’s Open Access to Research Outputs available at: [www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines](http://www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines).

13) 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

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\(^4\) See [www.cihr-irsc.gc.ca/e/42071.html](http://www.cihr-irsc.gc.ca/e/42071.html) for details.
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.

14) Four Themes of Health Research

New Investigator 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.

15) 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.

16) 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.

17) 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 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 New Investigator.

18) 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 December 1 of each year.

19) Partial Awards

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

20) Financial Report

HSF 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 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.


C. Specific Program Information

1) Description

The Heart and Stroke Foundation 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 HSF at any given time.

A New Investigator 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 New Investigator 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 should clearly demonstrate 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 at the Assistant or Clinical Assistant Professor level. This would include Adjunct positions in a research track for which the applicant is eligible to write a Grant-in-Aid (as a Principal Investigator).

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 HSF.

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 originating from a national or provincial funding agency, 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.
3) Evaluation Criteria
   a. All applications undergo peer review by HSF.
   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 HSF.
   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 HSF.
   f. 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 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. HSF imposes no restriction on the additional income the New Investigator 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 Senior Personnel application copy (HSF Form R2)
   • One (1) collated Senior Personnel application copy (HSF 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. An eleven (11) page 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.
b. 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.

c. 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 HSF.

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.

*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 from an application that arrive late or without the signature of the referee across the seal.

d. An abstract of the proposed research.

e. A complete structured lay summary with a clear explanation of how the research proposal is relevant to the mission of HSF. 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.

f. A printed copy of the 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).

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 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. 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. HSF 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.

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 August 1 of the third (3rd) year of the award, (e.g. if award start date is July 1, 2014, the progress report is due August 1, 2016). The progress report template is available at hsf.ca/research/en/node/18.

Continuation of the award is contingent upon receipt of a satisfactory 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. if award ends June 30, 2019, the final report is due August 1, 2019). The final report template is available at hsf.ca/research/en/node/18.

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 grant 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 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 at:

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