

2016/2017

**National New  
Investigator Award  
Submission Guidelines**

**(Fall 2015 Competition)**

June 2015

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## **A. General Information**

### **1) Our Vision**

Our vision is to create healthy lives free of heart disease and stroke. Together we will make it happen.

### **2) Our Mission**

The Heart and Stroke Foundation's mission is to prevent disease, save lives, and promote recovery.

### **3) Application Submission Deadline**

Applications for the New Investigator award must be post-marked/courier-stamped no later than September 14, 2015.

Applications post-marked/courier-stamped after the deadline will be considered late. 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.

### **4) 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 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.

### **5) 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. In instances where an applicant has made significant changes to their program of research, including a change in institution, research environment and substantial changes to the area of research focus, a fourth application may be considered pending internal review.

### **6) Competition Results**

Official letters will be sent to the applicants in March 2016.

### **7) 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.

### **8) Public Information**

Successful applicants need to be aware that the title of their research program and the lay summary may be placed into the public domain or included in Foundation publications without notification. Applicants are cautioned not to disclose information that could endanger a proprietary position in these sections.

We would like to encourage applicants to help us communicate the importance of research to HSF donors and the general public. In this increasingly difficult economic climate, raising funds to support research is becoming progressively more difficult. More than ever, we need to let our donors and the public know that their donations are being used to support world class research. You are one of the best

representatives to explain to the public the role of research in increasing heart health and reducing the burden of heart disease and stroke.

## 9) 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*<sup>1</sup>.
- 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<sup>2</sup>.
- Guidelines and standards for biological and chemical hazards as outlined in the Public Health Agency of Canada *Laboratory Biosafety Guidelines*<sup>3</sup>.
- Any research involving human pluripotent stem cells must adhere to the CIHR *Guidelines for Human Pluripotent Stem Cell Research*<sup>4</sup>. The institution must notify HSFC as to the results of the review by the CIHR's Stem Cell Oversight Committee.

## 10) 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).

## 11) 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 twelve (12) 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).

## 12) Publications

Recipients of Personnel Awards must acknowledge the support of the HSF 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.

<sup>1</sup> See [www.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/](http://www.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/) for details.

<sup>2</sup> See [www.ccac.ca/en/standards/guidelines](http://www.ccac.ca/en/standards/guidelines) for details.

<sup>3</sup> See [www.phac-aspc.gc.ca/lab-bio/res/blk-acb/lbg-ldmbl-eng.php](http://www.phac-aspc.gc.ca/lab-bio/res/blk-acb/lbg-ldmbl-eng.php) for details.

<sup>4</sup> See <http://www.cihr-irsc.gc.ca/e/15255.html> for details.

## 13) Four Themes of Health Research

New Investigator applicants must estimate what proportion of the proposed research and proposed program budget falls under the four (4) 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.

## 14) 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.

## 15) Multiple Submissions

Multiple submissions for national HSF Personnel Award applicants are not permitted. However, an applicant may apply to both a national and provincial HSF Personnel Award, but will only be able to hold one award from HSF. Where partnership programs are in place, the applicant must contact HSF for more information.

**16) Transfer of Award**

Personnel Awards are not transferable under any circumstances.

**17) Status of Publications**

Manuscripts may not be attached unless they have been submitted or accepted for publication. Any manuscript included with an application must be accompanied by documentation from a journal verifying that the manuscript has been submitted, is accepted for publication or is in press. The HSF will not accept letters indicating confirmation of acceptance for publication of a paper after December 1, as peer review of applications occurs early in December.

**18) Partial Awards**

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

## 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. Responsibilities of researchers, institutions and the HSF with respect to research integrity are outlined in the **Heart and Stroke Foundation (HSF) Framework: Responsible Conduct of Research** (<http://www.hsf.ca/research/en/node/800>).

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.<sup>5</sup>

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.

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<sup>5</sup> 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 <https://ori.hhs.gov/definition-misconduct>.

## C. Specific Program Information

### 1) Description

#### 1.1 HSF National New Investigator Award

The HSF National 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 National New Investigator awards will be supported by the HSF at any given time.

A National 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. In addition, an awardee may not hold two HSF Personnel Awards (national and provincial) concurrently. However, an awardee may accept supplemental funding (no greater than 50% of the value of the HSF award), if it is from a local or provincial funding source, providing it is not a HSF Provincial award.

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

#### 1.2 Provincial Awards (Alberta and Ontario)

In addition to the national HSF New Investigator award, the HSF Alberta and HSF Ontario are offering provincial or equivalent New Investigator awards. Applicants may apply to both a national and provincial HSF award; however, if successful in both competitions, the applicant may only accept one HSF award.

##### 1.2.1 Alberta New Investigator Award

Supplementary guidelines for the Alberta New Investigator award can be accessed at:

<http://hsf.ca/research/en/heart-and-stroke-foundation-hsf-alberta>

##### 1.2.2 Ontario Clinician-Scientist – Phase I

Guidelines for the Ontario Clinician-Scientist (Phase I) award can be accessed at:

<http://hsf.ca/research/en/node/62>

### 2) Eligibility Criteria

Please also refer to the provincial Guidelines as criteria may vary.

#### 2.1 General – National 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 program. 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 program.
- f. The applicant must hold an operating grant in support of the proposed research program at the time of this award; such grant(s) may be from the HSF and/or other granting agencies. The research grant support has the following additional requirements:
  - i) For each year of the four (4) 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 is (co-)principal investigator.
  - iii) Peer reviewed/Non-Peer reviewed funding
    - For years one (1) and two (2) of the award, research funding may originate from peer-reviewed and non-peer-reviewed sources.
    - For years three (3) and four (4) of the award, research funding must originate from peer-reviewed funding.

**3) Evaluation Criteria<sup>6</sup>**

- 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 program.

**4) Tenure / Stipend and Allowances**

Award Name	Eligibility	Value/year	Duration
National New Investigator	0-5 years	\$65K*	4 years
Alberta New Investigator	0-7 years**	\$60K	3 years
Ontario Clinician-Scientist (Phase I)	0-4 years	\$70K	4 years

\* See Special Awards (section 6, page 10)

\*\*Only those within 0-5 years will be eligible for a National New Investigator award.

**4.1 Tenure**

- a. The award will be for a period of four (4) 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.

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<sup>6</sup> For Ontario Clinician-Scientist (Phase I) applicants, please also refer to the provincial guidelines for additional information.

- 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 four (4) 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.

## 4.2 Stipend and Allowances

- a. The stipend for the National New Investigator is \$65,000 per annum, including the employer's share of fringe benefits, for a maximum of four (4) years. There are no additional allowances.
- b. HSF imposes no restriction on the additional income the National 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 program.

## 5) Application

Only one application form is required when applying to the National New Investigator, Alberta New Investigator and/or Ontario Clinician Scientist (Phase I) programs.

### Applicants must submit to:

**The Heart and Stroke Foundation  
Research Department  
222 Queen Street, Suite 1402  
Ottawa, Ontario K1P 5V9:**

- One (1) original (including signatures) collated Senior Personnel application (HSF Form R2).
- One (1) USB stick containing one (1) PDF copy of the complete application. Please refer to section 6.1 for the structure and format of the PDF copy of the application.

Each copy of the complete application must include:

- a. A six (6) page detailed description of the proposed research program, which includes identification of the applicant's role and how the execution of the research plan contributes to the applicant's development as an independent researcher.
- b. An institutional statement completed 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 program. The statement 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 program.

Section 20 of the application:

- 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 letters 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.

- d. An executive summary of the proposed research (section 17 of the application form).
- e. A complete structured lay summary with a clear explanation of how the proposed research is directly relevant to heart disease and/or stroke and what is the impact of the proposed research 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 referenced by clicking on the following links:  
[www.hsf.ca/research/sites/default/files/LaySummary\\_sample1.pdf](http://www.hsf.ca/research/sites/default/files/LaySummary_sample1.pdf);  
[www.hsf.ca/research/sites/default/files/LaySummary\\_sample2.pdf](http://www.hsf.ca/research/sites/default/files/LaySummary_sample2.pdf);  
[www.hsf.ca/research/sites/default/files/LaySummary\\_sample3.pdf](http://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 <https://ccv-cvc.ca/indexresearcher-eng.frm> for further instructions).

### 5.1 USB Submission of Application

The applicant must submit one (1) PDF copy of the full application on a USB stick. The PDF file name should be in the following format: Last name, First initial – NI16 (e.g. SmithJ – NI16). The label on the USB stick should contain the following information.

- Name:
- Program Type: NI 2016/2017 or CSI 2016/2017
- 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. the detailed proposal (item #18) should be inserted directly after item #18 in the application, not at the end). Appendices (if applicable) should appear after the signature page. 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
- 1 Page Summary
- Research Proposal

- CV - Label using last name (e.g. "CV Smith")
- CV Publications – Label using last name (e.g. "CV Publications Smith")

Please note the examples are provided for reference purposes only.

## 6) Special Awards

### McDonald Scholarship

The McDonald Scholarship is awarded to the highest rated National New Investigator. The McDonald Scholar will be awarded an additional research grant of \$10,000 in the first year of the award.

### Henry J.M. Barnett Scholarship

The Henry J.M. Barnett Scholarship is awarded to a highly rated National New Investigator working in stroke or a related field. The Henry J.M. Barnett Scholar will be awarded an additional research grant of \$10,000 in the first year of the award.

## 7) Application Submission

**Please mail completed application to:**

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

## 8) Contact the Heart and Stroke Foundation at:

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

Tel: (613) 691-4041  
Fax: (613) 569-3278  
Email: [research@hsf.ca](mailto:research@hsf.ca)  
Website: [www.hsf.ca/research](http://www.hsf.ca/research)