

# National Grant Review/Provincial Grant-in-Aid Program

## *Guidelines for Applicants: 2019 Competition*

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### Introduction

The Grant-in-Aid (GIA) program, a national peer reviewed application process, supports pulmonary research or development projects and offers grants for research operating costs, including laboratory supplies, technicians and some equipment for up to one or two years (varies by province). The Canadian Lung Association (CLA) manages the GIA program application and peer review processes. The provincial Lung Associations make funding decisions and administer the awards, taking into account application budgets and competition results. The participating provincial Lung Associations are:

- British Columbia Lung Association
- Lung Association - Alberta & Northwest Territories (NWT)

Applicants should refer to their respective provincial regulations governing Grants-in-Aid for additional information as guidelines vary from province to province.

### Award Amounts

	Lung Association Alberta & NWT	British Columbia Lung Association	
<b>Maximum Award</b>	Up to \$30,000	Up to \$30,000	Up to \$60,000
<b>Award Term</b>	1 Year	1 Year	Over 2 Years

## Eligibility

- A. Applications will be considered for research proposals that are directly relevant to human respiratory health problems. Please note that grant applications deemed outside the respiratory field will be eliminated from the selection process.
- B. A successful application will provide evidence that appropriate facilities are available for the research. A successful application from a Post-Doctoral Fellow (only eligible to apply to the British Columbia Lung Association) will indicate the status of the applicant's position, evidence of proper infrastructure to support the project, a statement regarding funding sources and that the applicant has salary support in place for the duration of the project. Additionally, if the applicant's supervisor is not a co-applicant, a letter of support from the applicant's supervisor should be enclosed. An institution through which funds would be administered will also need to be identified (**including the institution's business registration number**).
- C. The principal investigator must hold a faculty appointment at a Canadian University and can only apply to the provincial lung association in the province where they hold their faculty position. For example, an applicant from Alberta is only eligible to apply to the Lung Association - Alberta & NWT. Co-principal investigators do not require a faculty appointment; however they must complete scientific, methodological and budgetary overlap details.
- D. Applicants can only submit one application as principal investigator or co-principal investigator per year.
- E. A principal investigator or co-principal investigator can only hold one new GIA award per year.
- F. Individuals who currently hold funding from tobacco industry are not eligible for GIAs.

### ***Alberta & NWT Requirements***

1. Alberta & NWT applicants, at the time of registration, and for the duration of the award, principal investigator, co-principal investigators, and co-investigators are ineligible if they hold or have held funding, directly or indirectly, from the tobacco and/or cannabis and/or vaping industry.
2. Alberta & NWT applicants who have received funding through this competition for the same project for the past two consecutive years will not be considered eligible for this year's competition. This only applies to Principal Investigators.

### ***British Columbia Requirements***

1. In order to encourage young investigators, particular consideration will be given to requests from investigators who have received their first faculty appointment within the past five years. An additional score of 0.5 will be awarded to new investigators, at the British Columbia review meeting, provided that their applications receive a minimum ranking of 3.5 in the national competition.
2. British Columbia Lung Association accepts applications from Post-Doctoral Fellows (PDFs) as well as applicants on faculty.

## Deadlines

### Registration

1. All applicants must register by uploading one (1) abstract and completing the online registration form via <https://form.simplesurvey.com/f/l/grant-registration-2019> by **Friday, December 20, 2019 3:30 p.m. Eastern Standard Time**. Applicants are required to provide the name of each investigator, and three (3) suggested reviewers, the project title, keywords, and a maximum (one) 1 page abstract of the research project. The Lung Association will confirm receipt of your registration via e-mail.

### Submitting Applications

2. All applicants are required to upload one (1) complete application (format: PDF) with all the supporting documentation via <https://form.simplesurvey.com/f/l/grant-application-2019> by **Friday, January 10, 2020 3:30 p.m. Eastern Standard Time**. Applications from applicants who did not register will not be accepted.

## Application Requirements

### Documentation

In order to meet the needs of the various reviewers, and of the Lung Association itself, it is imperative that each applicant provide concise answers to all questions on the application form and submit the application including all supporting documentation.

Use only 8 ½" by 11" paper for all attachments, typed on one side only. Print should be of letter quality. **Attached pages should be single-spaced using either 12 point Times New Roman or 11 point Arial font. Condensed type or spacing will not be acceptable. A margin of 2 cm around the page is needed.** No photo- reduction except for figures.

Before having the applications countersigned by those authorized to do so on behalf of the institution, applicants are urged to see to it that their applications are correctly completed and that sufficient information is provided to permit assessment of the research proposal.

Similar to CIHR guideline, applications submitted that do not contain all the necessary information as described will be withdrawn from the competition process. The time between the closing dates for receipt of applications and the meetings of the Research Committee does not permit consideration of late or incomplete applications. The CLA and the provincial Lung Associations will assume no responsibility in following up with applicants who submit incomplete applications. **The entire responsibility to ensure completeness of the application submitted (including all required signatures) will rest with the applicant.**

1. **Applications submitted after the deadline will be considered late.**
2. **CLA and the provincial Lung Associations reserve the right to decline late, incomplete applications or those exceeding page limitations.**

## Selecting the appropriate stream for your application

The Grant-in-Aid (GIA) program has two streams; Basic Science and Clinical Research. As an applicant, you must identify the appropriate stream in order for your application to be directed to the appropriate review committee members that provide the peer review for the submitted applications. Use the definitions below to help direct which review stream would be appropriate for your application.

### **Basic Science Stream: biomedical research**

Research with the goal of understanding normal and abnormal human functioning, at the molecular, cellular, organ system and whole body levels, including development of tools and techniques to be applied for this purpose; developing new therapies or devices that 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 Research Stream: clinical, health services, and population health research**

#### ***Clinical Research***

Research with the goal of improving the diagnosis, and treatment (including rehabilitation and palliation), of disease and injury; and 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***

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, Canadians' health and well-being.

#### ***Population Health Research***

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.

## Grant Proposal

The grant proposal is a **maximum of 6 pages**, excluding references, tables, charts, figures, and photographs. **Additional materials** (tables, charts, figures, etc.) **must not exceed 5 pages**. **Representative publications** may be uploaded as appendices but **cannot exceed 3 in number**. The proposal should focus on the hypotheses, the background (no more than one page on the background) and the approach. Applicants should focus on explaining methods where they are critical to the application and avoid explaining detailed technical methods.

## Investigators and Co-Applicants

Applications may be submitted by one or more investigators, if the proposed research entails significant collaboration with investigators not named as co-applicants, the applicant(s) should include a signed statement of support for each collaborator(s).

## Progress Reports

All investigators receiving a Grant-in-Aid award must submit a progress report to the Lung Association that has funded the proposal.

## Ethics Approval

All applications and studies must be approved by the institution's Ethics Committee for Human or Animal Experimentation. For British Columbia and Alberta & NWT applicants, no funds will be released until a copy of the ethics approval has been received by your provincial Lung Association office.

## Budget Justification

**Salaries and Benefits:** Provide names (if known), categories of employment and proposed salaries (including non-discretionary benefits) of all personnel identified in the budget. Please refer to the sections below for additional information.

**Equipment:** In your budget justification, provide a breakdown and justification of the equipment items requested. Give details of models, manufacturer, prices and applicable taxes. Please refer to CIHR guidelines for specifics at [http://www.cihr-irsc.gc.ca/e/4656.html#s3\\_8\\_4](http://www.cihr-irsc.gc.ca/e/4656.html#s3_8_4). In addition, for maintenance and/or equipment items listed, indicate:

- the availability and status of similar equipment;
- the anticipated extent of utilization;
- the reasons for choice of specific type, model or service contract, in relation to alternatives;
- where applicable, the necessity for upgrading existing equipment or service contracts. For equipment or service contracts costing more than \$5000, attach at least one quotation for cost.

**Experimental Animals:** Include species to be used and sample size justification along with calculations, if applicable. Provide a breakdown for procurement, breeding, boarding, feeding and wherever possible include a copy of the Institution's standardized costs for these tasks as they vary from Institution to Institution.

**Materials and Supplies:** Provide details and justify/explain major items. Do not simply list items.

**Others:** Provide justification/explanation for each item listed.

**Travel:** Provide justification and a brief explanation of how each activity relates to the proposed research. The purpose and estimated cost of such travel must be given.

**Financial Support (if applicable):** Provide a brief explanation of any financial (not-in-kind) contribution from other sources (if applicable). If investigators already hold a grant, or if they are applying for grants, they must clearly describe the degree to which they overlap with the current application. This requirement includes grants funded or applied for from all sources. It should be indicated whether the proposal is being presently funded, applied for, or renewed. Budget, budget justification, and summary page for other funding support (ongoing or applied) must be attached. Applicants are required to disclose all other funding sources. Priority will be given to scientifically excellent grants that are not currently funded from other sources.

## Use of Awards

### Categories of Expenditures

Although the individual investigator is allowed discretion in the categories of expenditures within the approved budget, approval of the Lung Association should be obtained before undertaking any major changes in the way in which the award is spent. The Lung Association-funded research and training grants do not provide for

institutional overheads and/or indirect costs of research or clinical care and any limitations specified in the grant notification must be respected.

### **Excess Expenditures**

Any commitments (or expenditures) incurred by an investigator either in excess of the current grant funds or beyond the term of the grant are the responsibility of the investigator. All salary approvals and other special authorizations are given subject to the availability of the funds in the grant.

### **Ineligibility for Payment of Dues**

Grant funds may not be used to pay fees for membership in scientific societies or for journal subscriptions.

### **Travel**

Grants are not intended to support travel costs unless there is a requirement for travel (exclusive of meeting attendance) as part of the project. Use of the award to defray costs of travel is acceptable only if a specific allocation for travel forms part of the approved budget.

### **Equipment**

Title to equipment purchased under a grant remains in the institution at which the grant is held but its use for research projects listed on the grantee's application or otherwise approved by the committee shall be given priority over other uses.

### **Publication Costs**

It is acceptable to include an anticipated publication cost of a maximum of \$2000.00 in total, into the expendables category of your budget.

### **Transfer of Awards or Equipment**

The awards are to be undertaken at the institution named in the award. If the principal investigator moves to another institution, the award can be transferred only with the written approval of the Lung Association. Transfer of equipment requires, in addition, the approval of the institution where the grant was originally held.

### **Patent Rights**

The CLA and the provincial Lung Associations do not claim patent rights in any invention resulting from research supported by Lung Association funds. However, it expects the grantees and/or their institutions will seek patent protection for inventions or developments supported through grant-in-aid. Grantees wishing to obtain information concerning the patents applicable to discoveries arising from their research should seek advice from Canadian Patents and Development Limited, 275 Slater Street, Ottawa, Ontario, Canada, K1A 0R3.

### **Indirect Costs Policy**

The Lung Association 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).

## Unspent Balance

**Any unspent balance remaining following the end of the grant reverts to the provincial Lung Association that funded the proposal.** However, the Lung Association will consider written requests for use of the unspent balance by limited time extension of the original grant.

## Inability to Complete Research

The institution is responsible for advising the Lung Association promptly if the grantee is unable for any reasons to carry out or complete the research for which the grant was given.

## Acknowledgements

The support of the Lung Association should be acknowledged in any publication arising from research supported by the award. Copies of abstracts and publications arising from the GIA supported research should be forwarded to the Lung Association at the time of the publication.

## Location of research

Grant-in-Aid funds may only be used to support research conducted in Canada (with the primary site being in province of the funding provincial lung association (i.e. funds awarded by the BCLA must be used in British Columbia).

## Employment Under Grants

Guidelines for employment are the same as those applicable to CIHR within the Tri-Agency (CIHR, NSERC & SSHRC) Financial Administration Guide. Please consult the guidelines via [https://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index\\_eng.asp](https://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp)

- A. Technicians and research assistants may be employed under grants. The university's classification of technicians for whom funds are requested must be indicated on the application. The rates of pay shall be in accordance with the salary scale of the university or institution concerned. Investigators who seek funds for the employment of research assistants must describe the role of the individual in the research project. Provision may not be made under grants for the employment of practicing clinicians who wish to participate in a research project on a part-time basis, or for payments to individuals who receive remuneration for teaching or social work. Funding for graduate student support will be limited to CIHR guidelines.
- B. Individuals paid from Grant-in-Aid grants are not employees of the Lung Association. Employer contribution to superannuation, group insurance and other employee benefits normally available to the institution's employees may be paid by the institution on behalf of the individuals employed under the Lung Association's grants, and the cost of such contributions may be charged to the appropriate grant.
- C. Grantees or co-grantees shall not receive remuneration from any funds provided by the Lung Association through its Grants Programs. The regulations of the university with respect to the employment of relatives apply also to the use of the Lung Association's funds for this purpose. Only under exceptional circumstances will the Lung Association approve payment to members of university staff for consultative or other services. It is important to complete in full the section on other research funds on page 7 of the grant application. The applicant must include an indication not only of other grants received or applied for but also any which may overlap with the present application. Budget, justification and summary page of any ongoing or applied-for grants must be included with the application form.

### *Alberta & NWT*

**Salary Support for Research Fellows:** Funding for graduate students or post-doctoral fellows will be considered as long as:

1. the trainee is actively engaged on the proposed research AND
2. justification for salary support is provided, AND
3. all additional sources of funding for the graduate student/post-doc is disclosed.

Stipends paid to trainees shall be in accordance with institutional policies and pay scales.

## **Administration**

To facilitate communication of research within our organization, scientific abstracts and lay summaries of Grant-in-Aid funded research may be released for print and other media.

Awards will be posted on the Lung Association website.

## **Progress & Final Reports to the Lung Association**

It is a requirement of the Lung Association awards that the investigator(s) document outcomes of the research supported by Grants-in-Aid. All investigators receiving Grants-in-Aid awards are expected to submit a separate progress report at the end of the funding period.

The support of the Lung Association should be acknowledged in any publication arising from research supported by the award. Copies of abstracts and publications arising from the GIA supported research should be forwarded to the Lung Association at the time of the publication.

## **Indemnification**

The Lung Association, its directors, officers and employees shall not be responsible for any claims or other matters arising from employment or any other matter occurring as a result of these applications.

## **Additional Provincial Requirements: At-a-Glance**

All of the provincial Lung Associations participating in the National Grant Review/Provincial Grant-in-Aid program follow the requirements outlined above. There are some additional requirements that are provincial lung association specific. Please ensure you follow both the requirements above and the specific requirements from your provincial lung association listed below.

## **Alberta & NWT**

### **Eligibility**

1. Alberta & NWT applicants, at the time of registration, and for the duration of the award, principal investigator, co-principal investigators, and co-investigators are ineligible if they hold or have held funding, directly or indirectly, from the tobacco and/or cannabis and/or vaping industry.
2. Alberta & NWT applicants who have received funding through this competition for the same project for the past two consecutive years will not be considered eligible for this year's competition. This applies only to Principal Investigators.

## **Unspent Balance**

Any unspent balance remaining following the end of the grant reverts to the Lung Association - Alberta &

NWT. However, the Lung Association - Alberta & NWT will consider written requests for use of the unspent balance either by limited extension of the term of the original grant, or for an approved alternative program.

### **Partial funding for graduate students and PDFs**

Funding for graduate students or post-doctoral fellows will be considered as long as:

1. the trainee is actively engaged on the proposed research AND
2. justification for salary support is provided, AND
3. all additional sources of funding for the graduate student/post-doc is disclosed. Stipends paid to trainees shall be in accordance with institutional policies and pay scales.

## **British Columbia**

### **Eligibility**

1. British Columbia Lung Association accepts applications from Post-Doctoral Fellows (PDFs) as well as applicants on faculty.
2. Individuals who currently hold funding from tobacco industry are not eligible for GIAs.

### **Unspent Balance**

Any unspent balance remaining following the end of the grant reverts to the British Columbia Lung Association. However, the British Columbia Lung Association will consider written requests for use of the unspent balance either by limited extension of the term of the original grant, or for an approved alternative program.

### **New Investigators**

In order to encourage young investigators, particular consideration will be given to requests from investigators who have received their first faculty appointment within the past five years. An additional score of 0.5 will be awarded to new investigators, at the British Columbia review meeting, provided that their applications receive a minimum ranking of 3.5 in the national competition.

### **Progress & Final Reports to the Lung Association**

All investigators receiving British Columbia Lung Association Grants-in-Aid must submit a progress report.

Investigators seeking an award for a previously funded British Columbia Lung Association Grant-in-Aid must submit the progress report with the grant application. In addition, any investigator who has received funding in the past two years must complete this report prior to submission of application.