

National Grant Review/Grant-in-Aid

Guidelines for Applicants: 2021–2022 Competition (2020 Launch)

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Introduction

The National Grant Review (NGR)/Grant-in-Aid (GIA) is a national peer-reviewed competition that supports pulmonary research or development projects. It offers grants for research operating costs, including laboratory supplies, technicians, and some equipment for one or two years (see “Award Amounts” in the box below).

The Canadian Lung Association manages the GIA application and peer review process, while the participating provincial Lung Associations make funding decisions and administer the grant funds. The participating provincial Lung Associations are:

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

Applicants should refer to specific provincial guidelines in this document, as guidelines may vary for each province.

Award Amounts

	Lung Association Alberta & NWT	British Columbia Lung Association	
Maximum Award	Up to \$30,000	Up to \$30,000	Up to \$60,000
Award Term	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. Applications deemed outside the respiratory field will be eliminated from the competition.
- B. The principal investigator, who is considered the principal applicant, must hold a faculty appointment at a Canadian university. The British Columbia Lung Association also accepts applications from post-doctoral fellows as the principal investigator (see box below for details). The other applicants (co-principal investigator/co-principal applicant, co-investigators/co-applicants, and collaborators) are not required to hold a faculty appointment. Research associates are not eligible to apply as the principal investigator, although they may apply as a co-principal investigator or co-investigator.
- C. The principal investigator must apply to the provincial Lung Association in the province where they hold their faculty appointment. For example, a principal investigator from Alberta is only eligible to apply to the Lung Association – Alberta & NWT.
- D. An applicant may only submit one application as a 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. At the time of registration and for the duration of the award, the principal investigator, co-principal investigator, co-investigator(s), and collaborator(s) are not eligible if they hold or have held funding, directly or indirectly (within the last 10 years for applicants to the Lung Association – AB & NWT), from the tobacco and/or cannabis and/or vaping industry.
- G. An eligible institution through which the grant funds will be administered must be available and the institution's business registration number must be provided.

Requirements

1. A principal investigator who has received funding from the Lung Association – Alberta & NWT through a GIA competition for the same project for the past two consecutive years is not eligible for this year's competition.
2. At the time of registration and for the duration of the award, the principal investigator, co-principal investigator, co-investigator(s), and collaborator(s) are not eligible if they hold or have held funding, directly or indirectly within the last 10 years, from the tobacco and/or cannabis and/or vaping industry.

British Columbia Lung Association Requirements

1. British Columbia Lung Association accepts applications from post-doctoral fellows as the principal investigator, as well as from faculty members. Post-doctoral fellows who are applying as the principal investigator must indicate the status of their position, that proper infrastructure to support the project is in place, a statement of funding sources, and that salary support is in place for the duration of the project. Additionally, if the post-doctoral fellow's supervisor is not a co-investigator, a letter of support from the supervisor must be included.
2. At the time of registration and for the duration of the award, the principal investigator, co-principal investigator, co-investigator(s), and collaborator(s) are not eligible if they hold or have held funding, directly or indirectly, from the tobacco and/or cannabis and/or vaping industry.
3. To encourage new investigators, British Columbia gives particular consideration to applications from principal investigators who have received their first faculty appointment within the past five years at the time of registration. An additional score of 0.5 is awarded to new investigators at the British Columbia review meeting, provided that their applications receive a minimum score of 3.5 in the national review.

Deadlines

Registration

1. The applicant must register by completing and uploading the online registration form and a maximum one-page abstract of the research proposal via <https://form.simplesurvey.com/f/l/grant-registration-2020> by **Thursday, 28 January 2021 at 3:30 p.m. Eastern Standard Time**. The applicant is required to provide the names of all investigators, three (3) suggested reviewers, the research proposal title, keywords, and the abstract. The Lung Association will confirm receipt of the registration by email.
 - Abstract: One page (8 ½" by 11"), single-spaced, 12-point Times New Roman or 11-point Arial font. No condensed type or spacing. Leave a 2 centimetre margin around the page.

Application submission

2. The applicant must submit their application by completing and uploading the application form in PDF format along with all supporting documentation via <https://form.simplesurvey.com/f/l/grant-application-2020> by **Thursday, 18 February 2021 at 3:30 p.m. Eastern Standard Time**. The online application submission form requires similar information to the online registration submission form. *Applications from applicants who did not register will not be accepted.*

Application Requirements

Documentation

- Use 8 ½" by 11" paper, typed on one side only and single-spaced.
- Use 12 point Times New Roman or 11 point Arial font. Condensed type or spacing is not acceptable.

- Leave a 2 centimetre margin around the page.
- No photo-reduction except for figures.

The applicant is asked to provide concise answers to all questions on the application form.

Before having the application signed by those authorized to do so on behalf of the institution, the applicant should ensure that the application is fully complete and includes sufficient information to permit a thorough assessment of the research proposal. Applications that do not contain all the necessary information may be withdrawn from the competition. The time between the closing dates for submission and the meetings of the Research Committee does not permit consideration of late or incomplete applications.

The Canadian Lung Association and the participating provincial Lung Associations assume no responsibility to follow up with applicants who submit incomplete applications. **The responsibility to ensure the application is complete, including all required signatures, rests with the applicant.**

- Applications submitted after the deadline will be considered late.
- The Canadian Lung Association and the provincial Lung Associations reserve the right to withdraw late or incomplete applications, or those exceeding page limitations, from the competition.

Selecting the appropriate stream

The GIA has two streams: Basic Science and Clinical Research (see box for definitions). The applicant must identify the appropriate stream so the application can be directed to the appropriate peer review committee.

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.

Research on human subjects that does not have a clinically diagnostic or therapeutic orientation.

Clinical Research stream: Clinical, health services, and population health

➤ ***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***

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 proposal should focus on the hypotheses to be tested, the background, and the approach. The application should outline methods that are critical to the proposal and avoid explaining detailed technical methods.

- Maximum of six (6) pages excluding references, tables, charts, figures, and photographs, etc.
- Maximum of five (5) pages of additional materials such as tables, charts, figures, and photographs, etc.
- A maximum of three (3) representative publications (published, in press, or accepted) may be uploaded as appendices.

Collaboration and support

Collaboration: For collaborators who will make significant contributions to the research but who are not listed as co-investigators, include a signed statement of agreement from each collaborator.

Support: If the principal investigator's academic appointment is pending, append a letter from the dean of the faculty indicating when the appointment is expected to take effect. Review the British Columbia Lung Association requirement for a letter of support for post-doctoral fellows who are the principal investigator and whose supervisor is not a co-investigator.

Overlap: Scientific, methodological, and budgetary

For budgetary overlap, provide a brief explanation of any financial (not in-kind) contribution from other sources, if applicable. If any of the investigators on the research proposal hold financial (not in-kind) support from other sources or if they are applying for other funding, the application must describe the degree of overlap with the current application. This includes awards funded or applied for from all sources. It should be indicated whether the proposal is being presently funded, applied for, or renewed. All funding sources must be disclosed.

During the review process, priority will be given to scientifically excellent research proposals that are not currently funded from other sources.

Previous research/Progress summary

For renewal applications, summarize progress under the current Lung Association grant and identify the term of the grant. New applicants may summarize previous work related to this application, or present preliminary data.

Ethical and safety considerations/Ethics approval

The application must be approved by the principal investigator's institutional Ethics Committee for human or animal experimentation, and biological/chemical hazards.

Ethics approval should be submitted with the application if possible. If this is not possible, ethics approval is to be submitted to the provincial Lung Association to which the application is being made. No funds will be released by the provincial Lung Association office until ethics approval has been received.

Signatures

All required signatures, including those from the principal investigator's institution and from all applicants on the research proposal, must appear in the application or it may be withdrawn from the competition.

Eligibility acknowledgement

The box at the end of the eligibility criteria page must be checked and the principal investigator's signature provided as an indication that all applicants on the research proposal meet the listed eligibility criteria.

Summary of funds requested/Budget justification

The Lung Association–funded research and training grants do not provide for institutional overheads and/or indirect costs of research or clinical care, as per the following 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).*

Salaries and benefits: Provide names if known, categories of employment, and proposed salaries including non-discretionary benefits for all personnel identified in the budget.

Equipment: Provide a breakdown and justification of the equipment items requested. Give details of models, manufacturers, prices, and applicable taxes. In addition, for maintenance and/or equipment items, indicate:

- The availability and status of similar equipment
- The anticipated extent of use
- The reasons for the choice of a specific type, model, or service contract, in comparison to alternatives
- Where applicable, the necessity for upgrading existing equipment or service contracts. For equipment or service contracts costing more than \$5,000, attach at least one quotation for cost.

See the CIHR guidelines at http://www.cihr-irsc.gc.ca/e/4656.html#s3_8_4 for more information.

Experimental animals: Include species to be used and sample size justification along with calculations, if applicable. Provide a breakdown for procurement, breeding, boarding, and feeding. Where 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.

Other: Provide justification/explanation for each item listed.

Service contract: Provide details for any service contract(s) related to the proposal.

Travel: Provide justification, a brief explanation of how each travel activity relates to the proposed research, and the purpose and estimated cost of the travel. Grant funds are not intended to support travel costs unless there is a requirement for travel, excluding meeting attendance, as part of the research project. Use of grant funds for travel costs is acceptable only if a specific allocation for travel is part of the approved budget.

Publication costs: Anticipated publication costs to a maximum of \$2,000 may be included in the budget.

Financial support from other sources (if applicable): List the total from all sources of funding, even if there is not overlap.

Use of Grant Funds

Categories of expenditures

Grantees are allowed discretion in the categories of expenditures within the approved budget. Prior approval of The Lung Association should be obtained before any major changes are made in the way the grant funds are

spent.

The Lung Association–funded research and training grants do not provide for institutional overheads and/or indirect costs of research or clinical care. Limitations specified in the grant notification must be respected.

Excess expenditures

Any commitments or expenditures incurred by a grantee in excess of the grant funds or beyond the term of the grant are the responsibility of the grantee. Salary approvals and other special authorizations may be given by The Lung Association subject to available funds.

Employment under grants

Guidelines for employment are the same as those that apply to CIHR within the Tri-Agency (CIHR, NSERC, and SSHRC) Financial Administration Guide, found here: https://www.nserc-crsng.gc.ca/InterAgency-Interorganismes/TAFA-AFTO/index_eng.asp.

- A. Technicians and research assistants may be employed under GIA awards. The institution’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 institution. Investigators who seek funds for the employment of research assistants must describe the role of the research assistant in the research project. Grant funds may not be used to employ 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 students follows CIHR guidelines.
- B. Individuals who are paid from grant funds are not employees of The Lung Association. Employer contributions 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. The principal investigator, co-principal investigator, co-investigator(s), or collaborator(s) shall not receive remuneration from grant funds provided by The Lung Association through its GIA program. The regulations of the institution with respect to the employment of relatives apply also to the use of grant funds for this purpose. Only under exceptional circumstances will The Lung Association approve payment to members of institution staff for consultative or other services. The applicant must complete in full the section on other research funds in the application, listing not only other grant funds received or applied for but also any that overlap with the current application. A budget justification and summary page of ongoing or applied-for grants must be included as part of the application.

Lung Association – Alberta & NWT: Salary support for research fellows

All applicants named in the application, including collaborators, are not eligible for salary support. Salary support for graduate students or post-doctoral fellows (trainees) will be considered if:

- The trainee is actively engaged on the proposed research, and
- Justification for salary support is provided, and
- All additional sources of funding for the trainee are disclosed.

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

Dues

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

Equipment

Title to equipment purchased under a grant remains at the institution where the grant is held. Use of the equipment for research projects listed on the grantee's application or otherwise approved by The Lung Association shall be given priority over other uses.

Transfer of grant funds or equipment

Grant funds are to be used at the institution named in the application. If the grantee moves to another institution, the funds may only be transferred 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 Canadian Lung Association and the participating provincial Lung Associations do not claim patent rights for any invention resulting from GIA-supported research. However, grantees and/or their institutions are expected to seek patent protection for inventions or developments supported by GIA awards. Grantees wishing to obtain information concerning the patents applicable to discoveries arising from their research should consult the Canadian Intellectual Property Office website at <http://www.ic.gc.ca/eic/site/cipointernet-internetopic.nsf/eng/Home>.

Unspent balance

Any unspent balance at the end of the grant period reverts to the provincial Lung Association that funded the proposal. However, the provincial Lung Association will consider written requests to use the unspent balance by issuing a limited time extension of the term of the original grant, or for an approved alternative program.

Inability to complete the research

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

Acknowledgements

The Lung Association should be acknowledged in any publication arising from research supported by the grant funds. Copies of abstracts and publications arising from GIA-supported research should be sent to The Lung Association at the time of the publication.

Location of research

GIA awards may only be used to support research conducted in Canada, with the primary site being in the province of the provincial Lung Association that funded the proposal. For instance, funds awarded by the British Columbia Lung Association must be used in British Columbia.

Administration

The Lung Association may release scientific abstracts and lay summaries of GIA-supported research for print and other media. Awards will be posted on The Lung Association and participating provincial Lung Association websites.

Reports

Grantees are required to document the outcomes of their GIA-supported research and submit a final report

at the end of the funding period. A principal investigator seeking funding for a research project that was previously funded through a Lung Association – Alberta & NWT or a British Columbia Lung Association GIA must include a progress report as part of the application.

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 by reason of or arising out of the funding of the proposed research.

Summary of Provincial Lung Association Requirements: At-a-Glance

Applicants are asked to read and follow all of the guidelines above. This section summarizes the requirements that are specific to the participating provincial Lung Association (Alberta or British Columbia).

Lung Association – Alberta & NWT

1. **Tobacco/cannabis/vaping:** At the time of registration, and for the duration of the award, the principal investigator, co-principal investigators, and co-investigators are ineligible if they hold or have held funding, directly or indirectly within the last 10 years, from the tobacco and/or cannabis and/or vaping industry.
2. **Previous funding:** A principal investigator who has received funding from the Lung Association – Alberta & NWT through a GIA competition for the same project for the past two consecutive years is not eligible for this year's competition.
3. **Salary support for research fellows:** All applicants named in the application, including collaborators, are not eligible for salary support. Salary support for graduate students or post-doctoral fellows (trainees) will be considered if:
 - The trainee is actively engaged on the proposed research, and
 - Justification for salary support is provided, and
 - All additional sources of funding for the trainee are disclosed.

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

British Columbia Lung Association

1. **Post-doctoral fellows:** British Columbia Lung Association accepts applications from post-doctoral fellows as the principal investigator, as well as from faculty members. Post-doctoral fellows who are applying as the principal investigator must indicate the status of their position, that proper infrastructure to support the project is in place, a statement of funding sources, and that salary support is in place for the duration of the project. Additionally, if the post-doctoral fellow's supervisor is not a co-investigator, a letter of support from the supervisor must be included.
2. **Tobacco/cannabis/vaping:** At the time of registration and for the duration of the award, the principal investigator, co-principal investigator, co-investigator(s), and collaborator(s) are not eligible if they hold or have held funding, directly or indirectly, from the tobacco and/or cannabis and/or vaping industry.
3. **New investigators:** To encourage new investigators, British Columbia gives particular consideration to applications from principal investigators who have received their first faculty appointment within the past five years at the time of registration. An additional score of 0.5 is awarded to new investigators at the British Columbia review meeting, provided that their applications receive a minimum score of 3.5 in

the national review.

4. **Reports:** Grantees receiving a British Columbia Lung Association GIA must submit a final report. A principal investigator seeking funding for a research project that was previously funded through a British Columbia Lung Association GIA must include a progress report as part of the application.