



CANADIAN DIABETES ASSOCIATION OPERATING GRANT GUIDE 2009 COMPETITION

CANADIAN DIABETES ASSOCIATION MISSION STATEMENT

To promote the health of Canadians through diabetes research, education, service and advocacy

Operating Grant Registration Form Due: December 1, 2008
Operating Grant Full Application Due: February 2, 2009

2009 Competition funding will commence on July 1, 2009

For 2009 only: Operating grant funding opportunity is being offered by the Canadian Diabetes Association (CDA). Innovation grant funding opportunity is not available for this competition, as this program is being re-evaluated with a potential re-launch in 2010.

New for 2009 Operating Grant competition:

- Registration form must be completed and e-mailed to CDA (research@diabetes.ca) no later than 11:59 pm (EST) on **December 1, 2008**.
- Full application must be completed and submitted to CDA via courier (overnight/next day only) by **February 2, 2009**.

Both of the steps must be followed for an application to be included in the 2009 Operating Grant competition.

The Operating Grant Guide, Registration and Application Forms, 2009 Competition, supersede all previous Canadian Diabetes Association Grants and Awards Guides and Applications. Applicants should always refer to the latest version. The Canadian Diabetes Association may, without notice, alter the programs or terms of an award. Any major changes will be announced immediately on the CDA website at diabetes.ca. The Canadian Diabetes Association reserves the right to interpret these guidelines and policies. Applicants should contact the Manager, Research or the Coordinator, Grants and Personnel Awards for clarification as required.

To discuss extenuating circumstances with respect to eligibility criteria, information on governing policies, please contact:

Jovita Sundaramoorthy
Manager, Research
Telephone: (416) 408-7090
Fax: (416) 363-7465
E-mail: jovita.sundaramoorthy@diabetes.ca

For further information on application submissions, please contact:

Myrtella Hodge
Coordinator, Grants and Personnel Awards
Telephone: (416) 408-7085
Fax: (416) 363-7465
E-mail: myrtella.hodge@diabetes.ca

Les demandes seront acceptées en français et en anglais. Le Guide d'information et les formulaires de demande sont disponibles en ligne, auprès de la coordonnatrice des bourses, subventions, prix et distinctions au (416) 408-7085 ou par courriel au myrtella.hodge@diabetes.ca.

TABLE OF CONTENTS

1.0	INTRODUCTION	2
2.0	APPLICATION PROCEDURES	2
2.1	Application Submission Process	2
2.2	Forwarding application in CD-ROM	2
3.0	PEER REVIEW PROCESS	3
4.0	GOVERNING POLICIES	3
4.1	Application Submission Requirements	3
4.2	Definitions of Principal Investigator, Co-investigator and Collaborator.....	3
4.3	Funding Period of Grant	3
4.4	Overlap	5
4.5	Competition Results and Feedback	5
4.6	Ethics Approval	5
4.7	Annual and Final Reports.....	5
4.8	Clinical Trials	6
4.9	Knowledge Translation	6
4.10	Media Relations	6
4.11	Proprietary Rights.....	6
4.12	Transfer of Grants	6
4.13	Parental Leave.....	6
4.14	Misrepresentation or Dishonesty	6
5.0	USE OF GRANT FUNDS.....	7
5.1	Budget Justification	7
5.2	Administration of Funds	7
5.3	Accountability and Auditing	7
5.4	Eligible Expenses.....	7
5.5	Ineligible Expenses.....	8
6.0	OPERATING GRANTS	8
7.0	RESEARCH CONFERENCES, SYMPOSIA AND MEETINGS.....	9

1.0 INTRODUCTION

The Canadian Diabetes Association (CDA) administers the Charles H. Best Trust Fund to support research to enhance our understanding of diabetes and its prevention, causes, cure and management.

The National Research Council (NRC) of the Canadian Diabetes Association, on the basis of ratings from each of the peer review committees, makes final funding recommendations for grants submitted to the Operating Grant competition. Research Symposium requests are reviewed by the NRC for funding recommendations.

2.0 APPLICATION PROCEDURES

Operating Grant Registration and Application forms are available at http://www.diabetes.ca/Section_Professionals/research.asp

The full application includes CDA Common CV which must be completed and is available at <http://www.ccv-cvc.ca>

Please refer to Governing Policies (4.0), Use of Grant Funds (5.0), and Operating grant (6.0) sections prior to completing an application. All applications are available online in PDF format in English and French. **All applications must clearly demonstrate relevance to diabetes.**

The Association welcomes applications submitted in French and every effort is made to have bilingual CDA peer review committees. If it is not practical to have a fully bilingual peer review committee, the applications may be translated into English to ensure a comprehensive review process.

2.1 Application submission process

Operating Grant registration form must be submitted electronically to CDA by **December 1, 2008**. The form is available on the CDA website. The completed forms must be submitted to research@diabetes.ca by 11:59 pm (EST) December 1, 2008.

This registration phase will assist CDA in organizing the appropriate review panel. This is a mandatory step in the Operating Grant application process. If the registration form is not received by the deadline date, CDA will not process the full application in February.

Full Operating Grant applications must be couriered (**next day/overnight delivery**) **on or before February 2, 2009**. Couriered applications arriving after February 3, 2009 will not be accepted.

Applications delivered in person will be accepted at 522 University Ave, Suite 1324, Toronto, until 4:30 PM (EST) on February 2, 2009.

2.2 Forwarding application in CD-ROM

Please note that Operating grant must be clearly labelled on the outside of the package. This facilitates the processing of applications in a timely manner. The application must include a CD-ROM with the following sections saved as individual files, please refer to the application form for details:

- **Structured lay summary** (PDF format; please label file as: applicant last name, first name –structured lay summary)
- **Abstract of research proposal** (PDF format; please label file as: applicant last name, first name–abstract)
- **Full application** (includes CDA Common CV of Principle Investigator (PI) and Co-PIs) (PDF format, please label file as: applicant last name, first name –type of application).

PLEASE COURIER APPLICATIONS (Next day/Overnight delivery) TO:

Canadian Diabetes Association
1400–522 University Avenue
Toronto, ON M5G 2R5

Please note incomplete applications will not be accepted. It is the responsibility of the applicant to ensure the application is complete prior to submission.

3.0 PEER REVIEW PROCESS

The Operating Grant Committees are standing volunteer committees of the National Research Council (NRC). Each Committee is composed of a Chair, Vice-Chair and 10-12 additional voting members. Each committee member has demonstrated scientific expertise in diabetes or a related area. Appointment of committee members takes into consideration the required expertise, regional distribution, gender and language skills to ensure a fair and balanced process. Members are appointed for a 1-year, renewable term for up to three years. Additional members may be added to committees depending on the number of applications received and the expertise required. Committee chairs reserve the right to allocate applications to the committee with the appropriate expertise.

All applications are reviewed by two committee members and, whenever deemed appropriate by the Chair and Vice-Chair, one reader and up to three external reviewers when additional expertise is required. Each reviewer (internal and external) conducts a thorough written review and rates the application based on the following criteria:

- Relevance to diabetes and its prevention, causes, cure, and management.
- Applicant(s) expertise with respect to the research proposal and the synergy of the research team;
- Merit of the proposal, including originality, clarity and feasibility of the hypotheses, transparency and appropriateness of methodologies, statistical rigour, and achievability; and
- Appropriateness and justification of the budget.

Prior to the committee meeting, all reviewers submit their scores to CDA. Applications that receive score below 3.5 from internal and external reviewers are streamlined into the non-fundable category prior to the meeting and not discussed by the committee. The Committee discusses every application that receives a score of 3.5 or higher. After a detailed discussion a consensus rating is negotiated, around which each member votes. The average of all votes allows for a ranking of applicants, which is put forward, in a blinded manner, to the NRC for funding recommendations.

4.0 GOVERNING POLICIES

- 4.1 Application Submission Requirements:** Operating grant registration form must be completed and submitted electronically to CDA (research@diabetes.ca) no later than **December**

1, 2008. The information provided in the form will not be used for the peer review of the application. A full application must be submitted to CDA no later than February 1, 2009. Since this date falls on the weekend the deadline is February 2, 2009.

Principal Investigator (PI) on an operating grant is not eligible to apply for or hold more than one operating grant, at any one time. There are no restrictions on the number of applications upon which an individual can be listed as a co-investigator or collaborator.

An application must be submitted through the institution that will administer the funds. Please refer to the application form for the number of copies required for submission. All applications require a 200-250 word structured lay summary and a clear explanation of how the research proposed is relevant to diabetes (please see application form for details).

If the application is a renewal, the progress report section of the application form **MUST** be completed. Also, include a list of publications that resulted from this CDA funding.

If the application is a resubmission, applicants **MUST** indicate how reviewers' comments have been addressed and attach copies of the written reviews from the previous application. If the research proposal has been changed substantially based on reviewers' comments, it will still be considered a resubmission. Only if it is an entirely new project and it has never been submitted to CDA, should the application be labeled as new.

Submitted manuscripts included in the application but not yet published, must be accompanied by documentation from the journal verifying the status i.e. submitted, accepted or in press. Letters confirming acceptance of a manuscript for publication must be received by the Association by March 1, 2009, to be included in the peer review discussion.

Also, when completing the publication section in the Common CV, please indicate clearly which publications resulted from CDA funding.

4.2 Definitions of Principal Investigator, Co-Investigator and Collaborator: The principal investigator directs the intellectual and scientific design of the research project and takes financial and project management responsibility for ensuring completion of the project within budget projections.

Co-investigators make significant contributions to the intellectual and scientific direction of the research, project management, and may with direction from the PI have some responsibility for financial aspects of the research activities. The PI and all Co-investigators must sign the application, and in so doing agree to abide by all policies laid out in the Canadian Diabetes Association Operating Grant Guide. Post-Doctoral fellows are not eligible to apply as a PI or Co-investigator on Operating Grant applications.

Collaborators are individuals who provide and may be reimbursed for services, materials, advice, etc. to facilitate completion of the proposed research activities; however, their intellectual contribution to the work is limited. Collaborators must sign a letter of agreement briefly outlining the nature of the collaboration.

4.3 Funding Period of Grant: The funding year for all grants is July 1 to June 30 for each year of the funding period. All grant recipients must be prepared to accept the grant and begin the research on

July 1 of the funding year. Up to 15% of annual funding may be carried over for use in the next granting year or for up to 6 months after the end date of the grant. Authorization for extensions to the funding period must be requested in writing to the Manager Research. The Canadian Diabetes Association does not assume any financial obligation beyond the funding period specified in the notification letter.

- 4.4 Overlap:** Applicants are encouraged to submit independent projects to the Canadian Diabetes Association. Principal and co-investigators must include the abstract and budget pages and clearly describe the degree to which there is overlap with this application and other grants held or applied for as per the guidelines outlined in the Common CV.

In the event that funding for the grant, as submitted to CDA, is offered by another agency, the PI must notify CDA in writing within 2 weeks of receiving the offer. If the funding obtained is from a public granting agency (e.g. Tri-Council) and the amount is equal to or greater than that requested from CDA, then the applicant must accept funding from the public agency.

- 4.5 Competition Results and Feedback:** Competition results will be posted on the CDA website in mid May. All applicants will receive a notification letter by late May regarding the decision of the National Research Council. Successful applicants are requested to complete the Operating Grant Agreement form and fax it back to CDA within one week of receiving notification. Failure to do so will be construed by the Association as declining the grant. Copies of written reviews and committee discussion notes will be mailed to PIs along with the notification letter, and they are expected to share this information with co-investigators. The identity of peer reviewers is confidential and will not be disclosed.

- 4.6 Ethics Approval:** The primary responsibility for ethical conduct rests with the PI and their institution, which must have the appropriate ethics committees in place to review and authorize research proposals. An application for research funding to the Canadian Diabetes Association constitutes a pledge on the part of the applicants and their research institutions to respect all relevant guidelines involving human subjects, animals, biohazards, or stem cells. For example:

- Laboratory Biosafety Guidelines, (3rd Edition 2004). Public Health Agency of Canada.
- Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (1998) (with 2000, 2002, and 2005 amendments).
- Guide to the Care and Use of Experimental Animals (Volume 1, 2nd Edition, 1993 and Volume 2, 1984). Canadian Council on Animal Care.
- Updated Guidelines for Human Pluripotent Stem Cell Research (2007). Canadian Institutes of Health Research.
- Research Involving Radioactive Materials must comply with regulations of the Canadian Nuclear Safety Commission.

Ethical approvals will not be required when the application is submitted; however, all successful applicants must forward the appropriate ethics approval to CDA, prior to the release of funds. Please note that the timeline between notification of funding and distribution of funds is short; therefore, applicants should initiate ethics approval prior to funding notification.

- 4.7 Annual Progress and Final Reports:** Annual progress reports must be submitted to the Manager, Research at CDA within two months of the year-end of the grant (i.e. by August 30th), and a Final report will be due within 6 months of the end date of the grant (i.e. December 30th).

- 4.8 Clinical Trials:** The Canadian Diabetes Association has adopted the Position Statement on Registration of Clinical Trials from the Health Charities Coalition of Canada. Thus, all clinical trials funded by the Association must be registered with a recognized, publicly accessible clinical trials registry. Please visit: http://www.healthcharities.ca/position_statements.html.
- 4.9 Knowledge Translation:** The Canadian Diabetes Association expects grantees to disseminate knowledge created from CDA funding to various users (e.g. the public, health care practitioners, the media, scientists, and policy makers) using language, formats and media appropriate to the target group. In all knowledge translation activities, including but not limited to publications and presentations, grantees must **prominently acknowledge the funding provided by the Canadian Diabetes Association**.
- 4.10 Media Relations:** All recipients of Canadian Diabetes Association grants engaging in media-related activities related to the work supported by the Association must advise and send copies of relevant materials in advance of the release, to the **Director, Research Programs and Partnerships** at T-(416) 408-7083, F-(416) 363-7465 or josee.guimond@diabetes.ca. This would not apply to papers for presentations at various scientific meetings or when there is casual discussion with the news media on matters not related to Canadian Diabetes Association funding.
- 4.11 Proprietary Rights:** The Canadian Diabetes Association claims a proprietary rights interest in any patent rights resulting from research supported by its funds of 20% of the investigator's share that is in excess of \$25,000. Any question of the amount or extent of such interest is to be determined by agreement between the investigator and the Canadian Diabetes Association and in default of agreement by a sole arbitrator under the Ontario Arbitration Act. CDA must be notified in writing within 1 month of receipt of patent rights related to any research that it has funded.
- 4.12 Transfer of Grants:** Permission must be obtained from the Canadian Diabetes Association to transfer grant funding in the event a grantee is unable to continue as PI at the institution administering the funds. It is the responsibility of the grantee/institution to provide an estimated Statement of Expenditures for the research project and submit it to the Canadian Diabetes Association before the request can be considered. The Canadian Diabetes Association will make every effort to authorize the proposed change, but does reserve the right to terminate the grant. Should the grantee request to move equipment purchased with CDA funding, the institution co-owning the equipment is encouraged to accede to such a request.
- 4.13 Parental Leave:** Grantees will advise CDA when applying to their institution for parental/maternity leave. During the period of the leave CDA will defer payment on the grant, until the recipient returns to work. The end date of the grant will be extended for the same period of time that the grantee was on leave. The Annual Financial Report will still be required by August 10th and a Final Financial Report must be submitted no later than 2 months after the extended end date of the grant.
- 4.14 Misrepresentation or Dishonesty:** Misrepresentation of facts or academic dishonesty will result in disqualification of the application and possible suspension of the applicant from future CDA research competitions. A suspension period, if applicable, will be determined in consultation with the National Research Council.

5.0 USE OF GRANT FUNDS

- 5.1 Budget Justification:** Please explain and justify each budget item, providing sufficient detail for reviewers to assess whether the resources requested are appropriate. Failure to provide detailed information and appropriate justification may result in recommendations to reduce the funds awarded.
- 5.2 Administration of Funds:** The institution administering the funding must have the necessary accounting systems and financial controls in place to hold funds in trust for the PI. Payments are distributed quarterly (July, October, January and April) to the administering institution.
- 5.3 Accountability and Auditing:** Grantees and their institutions are at all times accountable for the use of Association funds in accordance with the policies set out by the Canadian Diabetes Association. The Association reserves the right to audit any or all grants/awards funded in any given year.

Annual Financial Statements are due to the Association by August 10th of each year and should be completed on the Revenue Expense Report form. The Coordinator, Grants and Awards will forward this form to institution financial officers in June of each year. Failure to submit the completed Revenue Expense Report will delay subsequent payments.

5.4 Eligible Expenses

- a) Supplies and Materials: All supplies and materials related to the research project are considered eligible expenses.
- b) Personnel: Operating grant applications may include salaries for support staff and trainees. Annual stipend levels for students and fellows must conform to current Canadian Diabetes Association funding levels for personnel awards (i.e. \$21,000 for doctoral students and \$40,000 for fellows).
- c) Equipment: Purchases of equipment up to \$5,000 (per year) are eligible if clearly justified in the budget. The title to equipment purchased with CDA funding will be given jointly to the grantee and the institution administering the funds.

Service contracts and common equipment usage fees are eligible expenses in wet laboratories, while network and firewall charges are eligible expenses for research involving secure database applications.

- d) Fieldwork Travel: Fieldwork travel expenses must be clearly outlined and justified (e.g. data collection or transportation of subjects).
- e) Publication Costs: Costs related to publication or presentation of research results.
- f) Subject Payment: A modest honorarium for subjects may be included in the budget and subjects can be reimbursed for expenses incurred as part of their participation in the research project (e.g. travel, parking, food, or supplements).

- g) Small Modifications to Budget: A grantee is expected to use the money for the purposes outlined in the application. Small variations to the budget are considered acceptable; however, permission must be obtained from CDA if the grantee makes significant changes to the budget (i.e. 25% or greater).
- h) Carry Over: Up to 15% of annual funding may be carried over for use in the next granting year or for up to 6 months after the end date of the grant. A final Revenue Expense Report must be submitted no later than 2 months after this 6-month extension, at which time any unused funds must be returned to CDA. Requests for approval of extenuating circumstances must be made in writing to the Manager, Research.
- i) Conference Travel: A maximum of \$3,000 per grant year can be used for conference and/or meeting-related travel. Any unspent conference travel monies from one funding year can be carried forward to the next year; however, no more than \$6,000 can be expensed over a two year grant period or \$9,000 over a three year grant period.

5.5 Ineligible Expenses: CDA reserves the right to request reimbursement of funds, in the event that any of these expenses are incurred on a CDA grant.

- a) Indirect Costs: Administrative and indirect costs to institutions administering the funds (included but not limited to heating, lighting, ethics reviews, facilities for animals used in research, management of intellectual property, environmental assessment and safety compliance).
- b) Sabbatical Leave: Expenses incurred as a result of the grantee/awardee taking sabbatical.
- c) Professional Training: Costs related to professional training or development, e.g. computer or language training.
- d) Membership Fees: Fees for professional associations or scientific societies.
- e) Cellular Phone: Cell phone charges cannot be expensed, unless clearly documented as a method of data collection.
- f) Investigators' Salaries: PIs' and/or co-investigators' salaries.
- g) Overseas funding: CDA research funding is intended for research conducted in Canada; however, if an exceptional need for collaboration outside of Canada is identified, it should be addressed at the time of application in order to seek approval from the peer review committee and NRC.

6.0 OPERATING GRANT

The Canadian Diabetes Association invites Operating grant applications for diabetes-related research.

Please refer to the Governing Policies (4.0) and Use of Grant Funds (5.0) sections prior to completing an application.

Operating Grants

- a) **Description:** The Canadian Diabetes Association offers support for research projects designed to enhance our knowledge of the prevention, etiology, management, and cure of diabetes and related complications. As well as population health, health services, diabetes education, community and practice-based research.
- b) **Eligibility:** Operating grant applicants (Principal and Co-investigators) must have a doctoral degree (MD, PhD, DSc, DDS, PharmD, DVM or equivalent) and an independent faculty position with institutional support at a university or research institution in Canada.

If at the time of applying the applicant does not have an independent faculty position, due to the requirement by the institution that the individual must secure independent peer-reviewed operating grant funding prior to the position being finalized, then a detailed letter from the department chair or dean providing details regarding the faculty position, **must be included** in the application. Failure to provide this letter will result in the application being streamlined out of the competition. CDA reserves the right to request additional information to clarify the position offered. Furthermore, applicants must clearly demonstrate independence from their mentor. CDA reserves the right to request additional information to confirm independence.

- c) **Assessment Criteria:** The reviewers will be evaluating the application based on the following criteria:
- Assessment of applicant, including past productivity, publication record and suitability of research training
 - Assessment of strengths and weakness of the proposal, including
 - i. The appropriateness and thoroughness of the literature review
 - ii. Originality and potential impact of the research
 - iii. Relationship to previous work by the applicant
 - iv. Feasibility and appropriateness of the research plan
 - v. Suitability of the research environment
 - vi. Relevance to diabetes
 - vii. Comments on the budget
- d) **Funding Ceiling and Duration of Support:** The maximum amount that can be requested is \$85,000 annually for a period of up to three years. The final budget and duration of award is at the discretion of the review committee and subject to the availability of funds.

7.0 RESEARCH CONFERENCES, SYMPOSIA AND MEETINGS

The Canadian Diabetes Association will provide up to \$5,000 in support of diabetes-related research conferences, symposia and meetings held in Canada. Subject to the availability of funds, small conference grants (if deemed worthy of funding) are available on a first-come, first-served basis. Frequency of application from any particular individual or group should be reasonable (no more than once every 3 years). Conferences, symposia and meetings that take place annually are not eligible to apply for funding.

Applicants must submit the following:

- letter of request outlining: the name, contact information and affiliation of project organizer(s)
- title of proposed conference/symposium/meeting
- objectives of proposed conference/symposium/meeting
- clearly state relevance to diabetes
- draft program of the meeting
- affiliations of anticipated attendees
- proposed budget with justifications
- state clearly how CDA funding will be acknowledged in all meeting related material
- additional sources of support requested or received

Proposals will be evaluated based on the following criteria: clarity of objectives, degree of alignment with the Association's mission and vision, potential outcomes or impact of the meeting, and budget justification.

Within three (3) months after the meeting/symposium/conference, a brief report which includes a post-event and a summary of outcomes/future activities as a result of the event, must be forwarded to CDA. Please include a brief description of how CDA funds were spent.

Deadlines: Letters of request for support **MUST** be submitted to the Association **at least three (3) months before the event**. No exceptions will be made to the time requirement. Requests are reviewed by CDA's National Research Council. Incomplete applications will not be reviewed.

Charitable Number 11883 0744 RR001