



**CCS-PFIZER-CHF ALLIANCE RESEARCH FELLOWSHIP AWARD IN FIRST NATIONS, INUIT AND MÉTIS
(FNIM) COMMUNITIES EXPERIENCING HEART FUNCTION (HF) INEQUITIES**

The CCS Research Fellowships and Awards program was established to foster growth of peer-reviewed Canadian cardiovascular research and researchers. With support from like-minded organizations committed to empowering clinician scientists nationally, the CCS Research Fellowships and Awards program supports topics of research that span the various areas of cardiovascular medicine. The CCS, and all program partners, encourage all eligible CCS members to apply including underrepresented groups women and gender minorities, Indigenous Peoples, persons with disabilities, racialized individuals, and members of the 2SLGBTQIA+ communities.

Please refer to Appendix A for CCS Terms and Conditions for all CCS Research and Fellowship Awards

CONTACT

For information regarding research programs, governing policies, and application submissions, please contact: Research and Fellowship Awards Email: researchawards@ccs.ca

DEADLINE

Application submissions must be made online through the [CCS On-line submission platform](#). CCS offers a secure internet portal which allows the applicant to electronically submit grant applications. All application submissions are due online on Cadmium May 7, 2024. Additional time allowances will not usually be granted for any reason. Notices of Decision will be shared in mid-July 2024. Funding is projected to be disbursed starting in fall 2024.

FUNDING OPPORTUNITY

The Canadian Cardiovascular Society, Pfizer, and the Canadian Heart Function Alliance (CHF Alliance) are proud to support the Research Fellowship Award in First Nations, Inuit and Métis (FNIM) Communities Experiencing Heart Function (HF) Inequities. The purpose of this award is to support growth and excellence in research focused on better understanding and addressing the heart function inequities experienced by First Nations, Inuit and Métis in both health generally and HF care more specifically.

OBJECTIVE

The objective of the Research Fellowship Award in First Nations, Inuit and Métis (FNIM) Communities Experiencing Heart Function (HF) Inequities is to facilitate clinical outcomes research or clinical research in an area related to prediction, prevention, diagnosis and management of HF in the Canadian First Nations, Inuit and Métis (FNIM) communities (spanning the lifecycle of patients from young to elderly, from rural to urban, and across geographic and socio-economic barriers).

Preference will be given to researchers who:

- demonstrate multi-institutional collaboration, particularly with sites involved with the CHF Alliance
- agree to have their projects become part of the CHF Alliance structure and to present their protocols, project updates, results, and knowledge translation plans at internal CHF Alliance meetings. Visit the CHF Alliance website for more information about the structure.
- submit research proposals with demonstrable ability to meet objectives within the 12-month term of the fellowship.
- are from institutions with a demonstrable commitment to reconciliation that might support the Fellow in conducting their proposed research (for example, institutions that have offices of Indigenous engagement,

agreements in place with Indigenous communities, or Elders and Knowledge Holders on staff that could support the Fellow).

- have a proven track record in FNMI health research, with demonstrated engagement and commitment to the FNIM community. For example:
 - o TCPS 2 certificate
 - o training in FNIM people and their health (certificate, transcript or a few paragraphs on key learnings)
 - o evidence of engagement with FNIM people (ie. letter of support, engagement plan, etc)

ELIGIBILITY CRITERIA

The principal investigator must be research fellow defined by CCS as an individual who is enhancing their research skills through actual involvement in research and who works under the formal supervision of an independent researcher. The supervisor must be identified and provide written support for the research.

For CCS awards a research fellow may be;

- a postdoctoral fellow (post-PhD) at an academic or research institution;
- a post-health professional degree fellow (e.g., medicine, nursing, pharmacy) at an academic or research institution. This includes specialists with certification in cardiovascular health or specialists who do not have a specialty qualification in a cardiovascular discipline but have a major interest and time commitment to cardiovascular disease.
- Applicants must be or become members of the Canadian Cardiovascular Society before accepting the award. For more information about CCS Membership, visit the CCS website: <http://www.ccs.ca/en/membership>
- Applicants must be a Canadian Citizen or Permanent Resident of Canada.
- Co-applicants of different career stages can be included. Inclusion of at least one mentor (at a mid-career or senior investigator stage) is strongly encouraged.
- Applicants can be principal investigators on only one application per cycle.
- Award funds are solely intended for research performed in Canada.
- The award and funds are intended for original research that is either clinical or translational with expected impact on patient care. Proposal should not request supplement funding for projects that already have extramural funding.
 - o If the submission refers to a multicenter clinical trial, the applicant must specify their specific role in the research study.
 - o If the application is for a sub-study of an ongoing project or trial, the applicant must specify their role and explain how the sub-study is distinct from the main study.
- If funded, proposed research must be completed within 48 months from the start of funding.

ANNUAL/FINAL REPORTS

Reports must be submitted by October of the subsequent year. If required an additional final report must be submitted within 6 months of the end date of the research, and a retrospective report is required 5 years after funding is completed.

THE AWARD

One award of \$65, 000 will be awarded based on an independent peer review process. Award funds will be administered by the Institution of the awardee's affiliated university or equivalent.

TERM

Funding is provided for one (1) year. Depending on the circumstances, a no-cost extension could be available with an additional interim progress report and an explanation for the need for the extension.

SUBMITTING YOUR APPLICATION

All applications must be submitted electronically using the [CCS online submission system](#).

Submissions will be accepted until May 7, 2024

You will receive email confirmation of your submission within 24 hours.

All applications will be pre-screened for eligibility. Applications that are late, incomplete and/or do not meet the basic eligibility criteria will not be considered for review. Peer review of all eligible applications will be conducted by a scientific review committee comprised mainly of CCS members. All eligible proposals will be reviewed by at least two members of the peer review committee.

Evaluation of applications will be based on three (3) criteria:

1. Academic and research background of the applicant
2. Quality of the research program
3. Research environment and mentor.

The applicant will log into the [submission site](#), to complete the assigned tasks.

TASKS

1. Applicant Information & Headshot
2. Institution Statement
 - a. Applications for this award must be supported by the university or institution at which the applicant will conduct the proposed research program. Provide a statement completed by the Dean and Department Head (or institutional equivalents) demonstrating commitment of the university or institution to provide the applicant appropriate academic rank, time allocated to the proposed research program, and to provide adequate space and facilities for the investigator's research, as well as a commitment to developing the applicant's research, technical and professional skills and networks over the training period by providing career planning, skills development and networking opportunities to prepare the trainee for an impactful career.
3. Statement of Eligibility
4. Mentor / Supervisor and Institution Information
5. Project Title, Lay Summary

- a. Lay Summary: Provide a lay summary in 280 characters or less, clearly explain the proposed research program to a general audience (at a reading level no greater than grade 8).
6. Research Program Outline and Operating Grants :
 - a. Research Program Outline: Provide an outline of the proposed research program (max 1500 words), including an executive summary of the proposed program of research. Ensure the outline describes the contribution this program of research has the potential to contribute to the field. The applicant should clearly demonstrate the potential to become an independent investigator.
 - b. Operating Grants: List any operating grant(s) that have been secured to support the proposed research program.
7. Upload Appendices (optional)
8. CV of the Principal Investigator, co-investigator (if applicable) and at least one (1) Primary Supervisor. CVs must be no longer than two (2) pages each and should include only peer-reviewed publications and abstracts from the last five (5) years. Do not include presentations, conferences, lectures or non-peer-reviewed publications. CVs should be uploaded in one PDF file.
9. Budget – Complete the budget template.
10. Budget Justification - explanation should not exceed 1500 words.

Financial Information: Award funds will be administered by the Research Center or Cardiology Division of the awardee's affiliated university or equivalent. Contact information is required.

Once you log on to the submission site, you will need to:

All submissions will be kept confidential according to the requirements of the Canadian Cardiovascular Society and the Personal Information Protection and Electronics Document Act (PIPEDA) (CCS privacy policy is at www.ccs.ca.)

If you have questions about submission process or require assistance with the submission system, contact researchawards@ccs.ca.

CCS PEER REVIEW PROCESS

Conflict of Interest and Confidentiality

All reviewers will be required to agree to CCS's Conflict of Interest and Confidentiality policies before beginning their reviews. CCS considers that a conflict of interest exists when the reviewers personal, professional or financial interests affect, or may be perceived to affect, their objectivity. Potential reviewers **will recuse** themselves from the review where a **COI** exists or may **appear to** exist. These policies have been developed by CCS to ensure the effective management of real or perceived conflicts of interest in the review process to ultimately encourage a culture of trust and transparency in the research funding process.

Review of Applications

Scientific Review Committee

The Award review committees are volunteer committees. Each peer-review committee member has demonstrated scientific expertise in cardiovascular disease. Appointment of committee members takes into consideration required expertise, regional distribution, gender, and language skills to ensure a fair and balanced review process. Members are appointed for a three-year term. All recipients of CCS Awards are committed to serving at least a one-year term as a peer reviewer.

Any reviewer who is a Co-Applicant or Collaborator on an CCS Award application may not be present when their application is being assessed and must recuse themselves from the discussion. Applications are reviewed by two committee members and, whenever deemed appropriate by the Co-Chairs, and an additional reader, when expertise is required. Each reviewer conducts a written review and rates the application based on the Peer-Review Criteria in Eligibility and Assessment Criteria. Scientific reviewers are assigned to applications based on their area of expertise, and with consideration of any real or perceived conflicts of interest. Prior to the committee meeting, reviewers will submit their scores to CCS via the on-line platform. After a panel discussion, a consensus rating will be negotiated, around which each member scores. The average of all scores allows for a ranking of applicants and the top scoring applications are funded.

RATING

Reviewers will provide a rating of the application. This is a combined rating for all three adjudication criteria. Please ensure that you consider your assessment of all criteria in your rating.

Criterion	Rating (1 to 49)
Significance and Impact of the Research (need for research, potential impact of the findings)	
Approaches and Methods (proposes a clear question with appropriately designed methods and analysis, with few limitations identified); originality, feasibility)	
Expertise, Experience and Resources (quality of applicant, research environment, research team)	

Rank and Rating Scale Descriptor Range

Outstanding 45.0-49.9

Excellent 40.0-44.9

Very good 35.0-39.9

Good 30.0-34.9

Needs revision 25.0-29.9

Needs major revision 20.0-24.9

Seriously flawed 10.0-19.9

Unacceptable/ Rejected 00.0-9.9

Written Review

Provide a critical assessment of the application by stating the strengths and weaknesses of the project, as well as constructive feedback based on the evaluation criteria described in the peer review manual.

Summary of Application (in your own words)	
Strengths and Weaknesses	

Integration of Budget Assessment

Reviewers are asked to determine if the budget is appropriate as described in the application and if it is realistic and well-justified.

Budget Recommendation	
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CCS Award Assessment Criteria

Assessment Criteria: All applications are reviewed by two peer-review committee members from the CCS research community and, whenever deemed appropriate by the Chair where additional expertise is required, a third reviewer. Scientific reviewers score the application based on the following criteria:

1. Significance and Impact of the Research: Is the study well justified? Are the preliminary data compelling? Is there a need for research? Is the potential impact of the findings important)
2. Approaches and Methods: applicant proposes a clear question with appropriately designed methods and analysis, with few limitations identified; Is the study well outlined and reasonable for the timeline?; what is the originality? what is the feasibility?
3. Expertise, Experience and Resources: What is the quality of applicant? appropriate team members included? Is suitable expertise available, particularly to support an early career researcher or a researcher branching to a new topic? Is the research environment supportive?

Scientific reviewers will also evaluate the proposed budget for appropriateness and feasibility. The expectation of the proposed budget is that it is fully justified and takes into consideration the needs of the research project and any anticipated changes in requirements over the term of the grant.

Prior to the review committee meeting, reviewers will submit their scores to CCS via the on-line platform. Only applications competitive for funding will be discussed at the review committee meeting. After a detailed discussion, a consensus rating will be negotiated, around which each member scores. The average of all scores allows for a ranking of applicants, and the top scoring applications are funded.

Knowledge Translation: CCS expects awardees to disseminate knowledge created from CCS funding to various users (e.g., the public, health-care practitioners, the media, scientists, and policy makers) and facilitate their translation into improved knowledge to support health, more effective products or services, and/or a strengthened healthcare system. In all knowledge translation activities, awardees must prominently acknowledge the support provided by CCS and refer to themselves as recipients of the XXXXXX.

1. Communication with the Canadian Cardiovascular Society

2. General conditions of CCS research funding

- i. Definition, of applicants
- ii. Terms of awards and conditions of approval
- iii. Award maximum
- iv. Title of equipment
- v. Change of Host Institution
- vi. Change in status of awardees
- vii. Funding outside of Canada
- viii. Non-employee status
- ix. Parental/Personal leave
- x. Acknowledgement of funding
- xi. Attendance at the Canadian Cardiovascular Congress
- xii. Financial audit
- xiii. Integrity in research and scholarships
- xiv. Inventions and patents
- xv. Disclosure of commercial interests

3. Financial administration of CCS research awards

- i. Canadian Cardiovascular Society/Host Institution
- ii. Notification of awards
- iii. Start date
- iv. Authorization of expenditures
- v. Administration and payment of funds
- vi. Disbursement of funds by the Host Institution
- vii. End of award/early termination of an award
- viii. Use of unspent funds at the termination date and extending the termination date (no-cost extension)

4. CCS research policies

- i. Integrity in research and scholarship
- ii. Indirect costs policy

1. COMMUNICATION WITH THE CANADIAN CARDIOVASCULAR SOCIETY

All applicants to the Canadian Cardiovascular Society will receive written notification of the outcome of their application.

Applicants have opportunities to interact with the CCS in the following ways:

- All applicants may seek clarification regarding the scientific review process and the funding decisions.
- All applicants may communicate in writing a specific concern regarding an issue of process or administration relating to a specific application. As appropriate, issues will be brought to the attention of the Chair of the Research Award Evaluation Committee. The CCS will investigate any concerns and a representative of the CCS will respond to the applicant in writing on behalf of the Chair. Note that decisions of the CCS are final. However, revisions or improvements to the peer review process may be implemented if necessary.

Applicants may submit a revision of an unsuccessful application to the next regular competition (if applicable) with a copy of the applicable critique and a response to the critique, as applicable.

Note that applicants must not discuss their application directly with the Chair or any member of the CCS Peer Review Committee. Any queries must be directed to the CCS (Research Awards researchawards@ccs.ca)

2. GENERAL CONDITIONS OF CCS RESEARCH FUNDING

The following conditions and regulations apply to all individuals receiving research funds administered by the Canadian Cardiovascular Society (CCS).

i. Definitions of Applicant, Co-Applicant, and Collaborator

The Principal Applicant of CCS Awards is either (A) Early Career Researcher or (B) Fellow (trainee) defined as:

- A) Early Career Researcher is a researcher within five years of the date of their first independent research-related appointment at an academic institution. Given that career progress for an ECR is particularly vulnerable to normal life circumstances, CCS will adjust the eligibility window, as follows (as per CIHR applications):
 - I. eligible leaves (e.g. maternity, parental, medical, family medical, bereavement) will extend ECR status (i.e. will not be counted towards the maximum) and are credited as twice the amount of time taken;
 - II. no adjustments are provided for professional leaves (e.g., training, sabbatical, administrative). No adjustments are provided for time spent on non-research related duties or for the pursuit of non-research related career activities.

B) A fellow is an individual who is enhancing their research skills through actual involvement in research and who works under the formal supervision of an independent researcher. The supervisor must be identified and provide written support for the research.

For CCS awards a research fellow may be;

- a postdoctoral fellow (post-PhD) at an academic or research institution;
- a post-health professional degree fellow (e.g., medicine, nursing, pharmacy) at an academic or research institution. This includes specialists with certification in cardiovascular health or specialists who do not have a specialty qualification in a cardiovascular discipline but have a major interest and time commitment to cardiovascular disease.

The principal applicant 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-Applicants make significant contributions to the intellectual and scientific direction of the research, project management.

Collaborators must sign a letter of agreement briefly outlining the nature of the collaboration.

Applicants must be or become members of the Canadian Cardiovascular Society before accepting the award.

ii. Terms of awards and conditions of approval

Awards are made only upon the approval of the CCS. All awardees and the Host Institution must formally accept an award and all awards are always conditional upon and subject to availability of funds at the Canadian Cardiovascular Society. In addition, the Canadian Cardiovascular Society reserves the right to terminate or change any award at any time.

iii. Award maximum

In accepting a research award, the recipient acknowledges and agrees that the award constitutes the maximum payable.

iv. Title of equipment

Title to all equipment purchased is vested in the Host Institution and it is the responsibility of that institution and the applicant to ensure there is adequate and appropriate insurance coverage.

v. Change of Host Institution

Awards are made for research at host institutions specified in an application. If an awardee leaves this institution, the award normally terminates. The transfer of the full responsibility of the award to another eligible Principal Investigator may be considered. However, if the awardee is transferring to another eligible host institution, application may be made to have the unspent portion allocated for use at that institution. Such application

requires that a new agreement with the Canadian Cardiovascular Society must be obtained and signed. Please contact the Canadian Cardiovascular Society for instructions.

vi. Change in status of awardees

Should an awardee be unable to continue the research program or course of study for which he/she has received support, the awardee and/or the Host Institution shall immediately notify the Canadian Cardiovascular Society so that appropriate action can be taken. All awards are conditional upon the continual involvement of named Principal Investigators and/or co-applicants. The named Principal Investigator(s) is required to notify the Canadian Cardiovascular Society if any role changes significantly.

vii. Funding outside of Canada

Canadian Cardiovascular Society funds may only be used to support research conducted in Canada. In unique circumstances and only where scientific methodologies demand, funds may be considered for use outside of Canada when it is necessary to complete the proposed work (e.g. limited/rare populations where sufficient accrual is not possible in Canada). All such requests will be reviewed on an individual basis.

viii. Non-employee status

Individuals who derive financial research support from the resources of the Canadian Cardiovascular Society, whether awardee, research personnel, trainee, or assistant in any unit, are not considered as employees of the Canadian Cardiovascular Society.

ix. Parental/Personal leave

Extension of the date for project completion may be offered to a Principal Investigator on an award if requested and approved in advance of the start of the leave. Additional funding is not provided to extend an award due to parental or personal leave.

x. Acknowledgement of funding

Recipients of funding are expected to acknowledge the support of the Canadian Cardiovascular Society and the Society's research funding partners in all scientific communications and media releases related to the award.

To acknowledge funding, researchers should state "This research is funded by the CCS-Pfizer-CHF Alliance Research Fellowship Award in First Nations, Inuit and Métis (FNIM) Communities Experiencing Heart Function (HF) Inequities received in 2024."

xi. The Canadian Cardiovascular Congress

The Society and its research funding partners wish to recognize outstanding Canadian researchers through providing research funding and by profiling awardees at the annual Canadian Cardiovascular Congress ("Congress") and the CCS Awards Ceremony, hosted at Congress. Awardees may be requested to present their research during a designated Congress workshop or concurrent session in any/all years.

xiii. Financial audit

The Canadian Cardiovascular Society reserves the right to audit the Awards statement of accounts.

xiv. Integrity in research and scholarships

The Canadian Cardiovascular Society has a formal policy on Integrity and Research Scholarship for the guidance and information of both applicants and Host Institutions.

All investigators must understand and adhere to the statements in this policy. This policy can be found in Section 3 below.

xv. Inventions and patents

It is a condition of payment of any award for research that the Host Institution maintains a policy on inventions and patents to which the recipient is subject. As well, such policy must not require the Canadian Cardiovascular Society to assume any responsibility for any costs, expenses or liabilities relating to inventions or patents. It is intended that provisions be made for proper recognition of the individual's genius and industry, which have contributed to the research effort.

The CCS reaffirms that it does not wish to own or have a vested interest in Intellectual Property (IP) which may emanate from any of the research projects it is supporting. Neither does the CCS wish to dictate terms to Host Institutions as to how they handle such IP. The CCS does, however, require the Host Institution to have a clear policy regarding IP, and have such policy in force at the time any award is made. Note, however, that it is the intent of the CCS that the primary objective of funded research must not be the promotion of commercial interests.

xvi. Disclosure of Conflict of Interest

A conflict of interest should be interpreted broadly to include any circumstances that could reasonably be perceived as unfairly biasing or benefitting the applicant or reviewer. It can be actual, potential or perceived in nature. If unsure, the information should be disclosed to CCS for consideration.

It is a condition of application that Principal Investigators, Co-applicants and Collaborators and Reviewers disclose fully any personal or financial interest they have in any Company, Corporation, or other commercial venture whose business activities are related to the subject matter of a Canadian Cardiovascular Society award application.

Such interests include, but are not limited to: owning a substantial number of shares of the Company (e.g., 5% or greater), sitting on the Board or other Committees of the Company, having an appointment (full- or part-time) as an Officer or Staff member of the Company, acting as a Consultant or Advisor for the Company, having any contract for services with the Company etc. Other possible conflicts of interests of interest include:

- a) the applicant(s) and the reviewer are close **colleagues** in the same academic department or research institution.
- b) the applicant(s) and the reviewer have had a **close research collaboration** within the last 5 years. The exception to this conflict-of-interest criterion is in the case of a large team grant, where the reviewer does not work directly with the applicant, and the applicant is from a different institution.
- c) the applicant(s) and the reviewer have had a **professional association** as a student, postdoctoral fellow or supervisor in the past 5 years.
- d) The reviewer has a **personal or business relationship** with the applicant(s).

- e) The reviewer's research would benefit or suffer based on the funding of the application

3. Financial administration of CCS research awards

i. Canadian Cardiovascular Society/Host Institution

Awards are made with the consent and knowledge of the Finance and/or Research administrative heads of the institution at which they are to be held. Institutions must abide by the policies contained in the Agreement. Funds will not be released to successful applicants without these approvals.

ii. Notification of awards

Successful applicants will receive an official "Notification of Award" that sets forth the duration of the award and the amount approved. The financial office and/or the research office of the host institution will be informed of the details of the award at the same time. A revised Notification of Award will only be sent if there is a change in the amount or terms of the grant.

iii. Start date

The start dates for awards are varied. The start date will be noted clearly on the Notification of Award.

iv. Authorization of expenditures

An individual account must be maintained for each award. All expenditures must be authorized by the awardee or by his/her authorized designate.

v. Administration and payment of funds

Funds for all awards are administered through the financial or research officer of the host institution. The Agreement between the CCS and the host institution shall outline the installment schedule.

vi. Disbursement of funds by the Host Institution

Payment of accounts for the purposes specified in the award is made by the financial officer of the Host Institution, upon authorization from the awardee. The total disbursements must not exceed the award and any expenditures in excess of the award will not be assumed by the Canadian Cardiovascular Society nor reimbursed by it to the host institution. Expenditures are to be made only for the purposes set forth in the terms of the award and any alternative use of funds requires prior approval of the Canadian Cardiovascular Society.

vii. End of award/early termination of an award

Expenditures incurred after the termination date will not be accepted. The Host Institution is expected to return any unexpended balances as at the termination date. In the case of awards that are discontinued for any reason (e.g., early termination), the Canadian Cardiovascular Society must be notified immediately.

viii. Use of unspent funds at the termination date and extending the termination date (no-cost extension)

Surpluses of up to \$10,000 may be retained for up to 12 months beyond an award termination date for

expenditures on that grant without further approval from the Canadian Cardiovascular Society. A statement of account must be provided for any funds expended beyond the normal termination date.

When the expected surplus exceeds \$10,000, more than 12 months are required to complete the work, or substantive work remains, awardees must apply for a no- cost extension. This will allow the remaining funds to be expended after the end date but will not provide any additional funds. Consideration for a no-cost extension will be given where work remains to be completed combined with justification or where an awardee has taken an extended leave of absence during the term of the award.

All requests shall be submitted to the Chief Science Officer of the Canadian Cardiovascular Society at least 30 days in advance of the expected date of postponement of research. The CCS will supply a template for completion that includes the following information:

- an explanation for the delay,
- a brief description of the work remaining with an estimate of the time required to complete the work, and
- a projected figure for the unexpended balance at the termination date.

4. CCS research policies

i. Integrity in research and scholarship

The Canadian Cardiovascular Society (CCS) funds cardiovascular research awards in academic institutions in Canada. The policies outlined below are developed to be consistent with those of the Canadian Institutes for Health Research (CIHR).

The CCS is committed to the highest standards of integrity in research and scholarships. The CCS defines integrity as encouraging the highest standards of research and scholarship. The major concerns regarding scientific misconduct are considered fabrication or falsification of data and plagiarism, but the CCS regards any action that is inconsistent with integrity as misconduct.

Integrity includes the principles listed below, which should be interpreted with the understanding that research can involve honest error, conflicting data or valid differences in experimental design or in interpretation or judgment of information:

- Recognize substantive contributions of collaborators and students
- Use unpublished work of other researchers and scholars only with permission and with due acknowledgement;
- Use archival material in accordance with the rules of the archival source
- Do not use new information, concepts or data that were originally obtained through access to confidential manuscripts or applications for funds for research or training that may have been seen as a result of processes such as peer review, unless the author has given permission
- Use scholarly and scientific rigor and integrity in obtaining, recording and analyzing data and in reporting and publishing results.
- Ensure that authorship of published work includes all who have materially contributed to and share responsibility for the contents of the publication, and only those people
- Reveal to sponsors, universities, journals or funding agencies any material, financial or other conflict of interest that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products or be permitted to undertake work sponsored from outside sources

These components of scientific integrity overlap with other areas such as financial integrity in the use of research funds and the ethical issues involving the use of human or animal subjects in research. This document is concerned only with scientific integrity and does not replace any other statements from the CCS on other areas with which this issue may overlap.

The CCS requires the institutions that administer funds to accept responsibility for:

- monitoring and investigating possible instances of misconduct in research or scholarship,
- imposing appropriate sanctions in accordance with their own policies, and
- informing the CCS of conclusions reached and actions taken.

The specific expectations for procedures and responsibilities of researcher, research institutions and the CCS regarding integrity in research and scholarship are outlined below.

Procedures for promoting integrity and for preventing and addressing misconduct in research

1. The responsibilities of researchers and scholars

The primary responsibility for high standards of conduct in research and scholarship rests with the individuals carrying out these activities.

2. The responsibilities of research institutions

The CCS holds the institutions that administer its funds responsible for investigating allegations of misconduct involving researchers, trainees or research staff receiving funds. Promotion by the institutions of understanding of the issues involved in integrity in research and scholarship offers a valuable means of preventing cases of misconduct.

(a) Promotion of integrity in research and scholarship

Integrity in research and scholarship is best encouraged by developing awareness among all involved of the need for the highest standards of integrity, accountability and responsibility. Research institutions should provide an environment conducive to this goal and actively promote programs for education of researchers, scholars, trainees and staff.

The CCS encourages institutions that administer its funds to establish a mechanism to educate all who are involved in the collection, recording, citing, reporting and retention of scientific or scholarly material about their expectations for the highest standard of integrity.

(b) Investigating allegations of misconduct in research and scholarship

Allegations may arise from anonymous or identified sources within or outside the research institution. The allegations may be well-founded, honestly erroneous or mischievous. Whatever their source, motivation or accuracy, such allegations have potential to cause great harm to the persons accused, to the accuser, to the institution and to research and scholarship in general.

The CCS requires the research institutions that administer its funds to establish appropriate impartial and accountable procedures to:

- receive written allegations of misconduct in research and scholarship
- conduct and document appropriate investigations within an established and reasonable time period

- protect the privacy of the person(s) accused and of the person(s) making the allegations throughout the investigation through mechanisms consistent with due process and natural justice
- decide whether there has been misconduct
- determine the actions to be taken as a result of conclusions reached, including:
 - the sanctions to be imposed;
 - any actions to be taken to protect or restore the reputation(s) or credibility of person(s) wrongly accused of or implicated in misconduct in research, including the procedures to ensure that, if the charges have been dismissed, copies of documents and related files provided to third parties have been destroyed;
 - any actions to be taken to protect the person(s) deemed to have made a responsible accusation; and
 - informing the accused person(s) of the results of the investigation and of the actions that have been decided upon
- prepare a report on the above

3. Responsibilities of the CCS

The CCS is responsible for ensuring that research funds are used with a high degree of integrity, accountability and responsibility.

Each institution receiving research funds must have established procedures for dealing with allegations of misconduct that are consistent with the above expectations. The CCS has the right, but not the obligation, to review the policies and procedures of the institution with regard to integrity in research and scholarship.

Allegations of misconduct made to the CCS or to research institutions might involve past or present awardees, trainees or staff supported by CCS funds. Such allegations might also arise from the peer review processes of the CCS. Under provision of the Privacy Act, the CCS may only transmit allegations of misconduct in research with the permission of their author.

The CCS will not transmit oral allegations to the institution or otherwise act upon them, since these cannot be assessed or transferred accurately. In the event that the CCS, or its peer review committee, identifies evidence of misconduct as part of the peer review process, the CCS will initiate an inquiry to gather and expeditiously review factual information to determine if an investigation of the allegation is warranted. An inquiry is not a formal hearing; it is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations. Based upon findings from the inquiry, the CCS may request that the institutions(s) involved to carry out an investigation and inform the CCS of the outcome.

The CCS requires that institutions that have carried out investigations of alleged misconduct in research or scholarship involving projects funded by the CCS inform the CCS of the allegations made and the progress of investigations and provide the CCS with the report prepared.

The CCS will consider the report and may request clarification or additional information. In cases in which

misconduct is concluded to have occurred, the CCS will also consider imposing its own sanction(s) in relation to awards made to the individual(s) or the institutions(s) implicated, in accordance with its policies. If actions are being considered, the CCS will provide an opportunity for the persons or institutions involved to present their position. These actions may include, but are not limited to:

- refusal to consider future applications for a defined time period;
- withdrawal of remaining installments of the award(s); and/or
- seeking a refund of all or part of the funds already paid as an award(s) for the research.

The CCS will inform the person(s) and the institution(s) involved of any impending action.

The CCS must retain the right at any time to bring a case to the attention of the appropriate legal authorities.

ii. Indirect costs policy

CCS Research Award funds may not be used for the indirect costs associated with the conduct of research. Indirect costs refer to the institution's operational costs including, but not limited to, heating, lighting, computer networking/IT services, ethics review, facilities for animals used in research, management of intellectual property, and/or environmental assessment and safety compliance. This policy is reviewed annually, and past practice does not necessarily dictate future CCS policy.