

Independent Investigator Awards Transition Awards

Last Revised: April 14, 2009

These general policies and conditions apply to all AIHS investigators who are currently funded as a result of applications submitted in the September 2005 competition or earlier.

These are now referred to as "**Transition Awards**" in recognition of the substantial changes that the Foundation has made to the awards effective for all applications submitted in September 2006 competition or later. These latter awards are now called the Revised Awards.

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1.0 Award Structure

1.1 Award Types

AIHS provides Investigator Awards in 6 distinct categories. The awards are based on the individual's academic seniority as well as type of research conducted. Detailed description of each award can be found here. The 6 categories are:

- i. Population Health Investigator;
- ii. Clinical Investigator;
- iii. Scholar;
- iv. Senior Scholar;
- v. Scientist;
- vi. Senior Investigator;

The guidelines outlined below apply equally to the biomedical and health awards (e.g. Health Scholar vs. Biomedical Scholar).

1.2 Length of Awards

All AIHS awards are for either five years (Scholar, Senior Scholar and Scientist), or three years renewable for a second three-year term. (Population Health Investigator and Clinical Investigator).

1.3 Components of Awards

Each AIHS award consists of a contribution to the investigator's salary and a salary supplement known as the Research Prize. It may also include research support in the form of the Research Allowance. Candidates newly recruited to Alberta are also eligible to apply for Establishment Grants. Each of these components is described below.

1.3.1 Contribution to Salary and Benefits

The major component of the AIHS investigator award is the contribution that the Foundation makes to the university to help offset the individual's salary and benefits. The funds provided by AIHS are pooled at the institutional level and used to support all AIHS investigators collectively.

The amount of the AIHS contribution varies according to the individual award. The value is set according to the amount that was provided as of July 1, 2006. It will increase at 6% per year until the conclusion of the award. The amount of the award is independent of the investigator's actual salary.

1.3.2 Research Prize

The Research Prize is a direct salary supplement provided by AIHS. It is intended to maintain and improve AIHS Personnel Awards as a potent vehicle for the recruitment and retention of highly qualified, internationally competitive investigators at Alberta institutions. It is provided for each year of the AIHS award.

The value of the AIHS Research Prize is determined by the investigator's current AIHS award. The values are as follows:

- i. Population Health Investigator - \$10,000;
- ii. Clinical Investigator - \$10,000;
- iii. Scholar (not previously supported in either of the above categories) - \$10,000;
- iv. Scholar (previously supported as either an AIHS Clinical Investigator or Population Health Investigator) - \$20,000;
- v. Senior Scholar - \$20,000;
- vi. Scientist - \$20,000;
- vii. Senior Investigator - \$40,000.

1.3.3 Research Allowance

Investigators who hold AIHS awards, with the exception of those who have held an establishment grant during the tenure of their current award, receive the research allowance.

The research allowance may be applied against research-related expenses including the following:

- purchase of equipment (and extended warranties);
- general materials and supplies;
- research-related services such as equipment rental, computer time, data acquisition, library resources;
- publication costs including open access publishing;
- vivarium costs;
- salaries of trainees, research assistants and technicians;
- books, journals, and society memberships;
- research-related travel.

The Research Allowance is provided as a lump-sum grant at the commencement of the award. The grant will remain open for the duration of the award. The spend-rate is at the discretion of the investigator.

The value of the AIHS Research Allowance is determined by the investigator's current AIHS award. The values are as follows:

- i. New Population Health Investigator - not provided;
- ii. New Clinical Investigator - not provided;
- iii. Renewal Population Health Investigator - \$10,000;
- iv. Renewal Clinical Investigator - \$10,000;
- v. Scholar (not previously supported in either of the above categories) - not provided;
- vi. Scholar (previously supported as either an AIHS Clinical Investigator or Population Health Investigator) - \$20,000;
- vii. Senior Scholar - \$30,000;
- viii. Scientist - \$40,000;
- ix. Senior Investigator - \$20,000.

1.3.4 Establishment Grant - General Information

AIHS provides funds to assist researchers who are newly recruited to Alberta in the start-up of their laboratories and/or research projects. Candidates who are already established in Alberta are not eligible to apply for establishment grants.

Establishment grants may consist of two components: operating funds and major equipment funds.

The funds approved are specific to each component and are not transferable without prior approval from AIHS.

1.3.5 Establishment Grant: Operating Funds

Operating Funds may be used for the following purposes:

- materials, supplies, and other expendables;
- minor equipment defined as equipment costing less than \$10,000 per unit or set-up;
- equipment rental;
- animals and animal facilities;
- computer and library resources;
- publication costs including open access publishing;
- photocopying and art work for scientific publications;
- technical workshop costs;
- salaries of personnel including research assistants, technicians, coders, interviewers, programmers;
- salaries and recruitment costs of trainees including summer students, graduate students, and postdoctoral fellows;
- purchase of books, journals, and periodicals;
- membership fees for scientific societies;
- research-related travel.

Operating Funds may NOT be used for the following purposes:

- hospitality and entertainment expenses;
- major scientific equipment (equipment costing more than \$10,000 per unit or set-up);
- tuition fees for students.

Unexpended funds must be returned to AIHS upon expiry of the grant.

1.3.6 Establishment Grant: Major Equipment

All equipment purchased with AIHS funds belongs to the host/sponsoring institution/organization. The institution is responsible for:

- the maintenance of the equipment;
- obtaining adequate and appropriate insurance coverage;
- ensuring that the equipment is used for the purposes outlined in the application;
- notifying AIHS of any changes to the usage of the equipment;
- notifying AIHS of the sale of the equipment;
- ensuring that all equipment, or proceeds from its sale, will be used to support research.

1.4 Terminal Award

AIHS investigators who hold Transition Awards may be eligible to request terminal awards if they are unsuccessful in competition for continued support from AIHS. Terminal awards are not automatically provided.

General terms and conditions of Terminal Awards are as follows:

- must be requested by the investigator's dean;
- are contingent on a continuing appointment in a full-time position at the host institution;
- require continuation of sufficient resources (grants or contracts) to maintain research activity;
- require prompt submission of annual reports for each calendar year of support;
- provide salary support at the rate prevailing during the year prior to the terminal year;
- does not include provision of the AIHS Research Prize.

The length of terminal support depends on the AIHS award held and the total length of time the applicant has been supported as an AIHS Independent Investigator. Those individuals who have received unqualified investigator awards for less than 10 years may be sponsored for up to one year of terminal support. Those investigators who have received unqualified investigator awards for 10 or more years may be sponsored for up to two years of terminal support. For purposes of determining total number of years, a terminal award or a leave of absence are included as eligible years. Please note that some exceptions exist and AIHS should be consulted for confirmation of terminal support eligibility.

A maximum of two years of total terminal support is available during an investigator's career.

2.0 Joint Funding with other Investigator Awards (AIHS Incentive Award)

2.1

AIHS Investigators are permitted to apply for and hold other personnel support awards such as the CIHR New Investigator Award, Canada Research Chair (Tier I or II), Heart and Stroke Foundation of Canada New Investigator Award, etc.

2.2

Investigators may apply for or obtain these awards at any point during the AIHS period of support. AIHS investigators are responsible for ensuring that the other organizations will permit them to hold their awards at the same time as the AIHS award.

2.3

The AIHS Incentive Award is generally limited to those individuals whose other personnel support award is provided on a competitive basis from a provincial, national, or international research-related agency from the non-profit or government sector. AIHS reserves the right to determine whether a given external award is eligible for consideration to provide an AIHS Incentive Award.

2.4

When an AIHS investigator receives another personnel support award, AIHS will contribute to the host institution the amount of its Investigator award minus the value of the external award (up to the maximum value of the AIHS amount or of the outside award, whichever is less). Thirty percent of the amount thus recovered by AIHS will then be returned in its entirety to the investigator's dean to enhance the research activities of the faculty. Eligible expenses include the direct support of research as per the following:

- operating costs for research;
- support of trainees;
- purchase of scientific equipment;
- support of administrative support staff;
- support for core facilities and the staff required to run them;
- recruitment costs to bring potential AIHS investigator award candidates to Alberta for visits.

2.5

The distribution of the Incentive Award is at the discretion of the dean, but AIHS expects that a major portion of it will be provided to benefit the AIHS investigator (including, but not limited to, the provision of an additional salary contribution to the investigator by the Faculty).

2.6

The Foundation will only consider incentive awards based on formal request made by the sponsoring Dean. For investigators with (ongoing) AIHS Investigator support awards:

- incentive will start from the original start date of the outside award or;
- the start of the AIHS award or;
- from a period not greater than 60 days prior to the first request for the incentive award,

Investigators not supported via the Independent Investigator program are not eligible to apply/ receive incentive funding.

3.0 Employment Status

3.1

All awards are made through the host institution/organization; individuals do not become employees of AIHS upon receiving awards.

3.2

The institution agrees to notify the Foundation of any change in the investigator's employment status as this may affect eligibility to retain the AIHS award. These changes could include loss of

academic appointment, transfer to a new faculty, acceptance of a significant administrative appointment, leave of absence, parental leave, etc.

4.0 Progress Reports

4.1

Awardees are required to submit annual progress reports. Failure to submit this report will result in suspension of the funding and may lead to cancellation of the awards.

4.2

AIHS will provide awardees with the required report forms and submission deadlines.

5.0 Intellectual Property Rights

5.1

AIHS investigators are subject to the intellectual property policies of their host institutions.

5.2

When commercialization of intellectual property is being considered, investigators are required to report any inventions to the technology transfer offices of their institution.

5.3

AIHS makes no claim on intellectual property rights.

6.0 Maternity and Parental Leave

6.1

AIHS awardees who take a maternity leave during the tenure of their awards must notify the Foundation prior to the commencement of the leave period.

6.2

The Foundation will extend the term of any investigator award for one full year for any woman who takes maternity leave during her current term of support. This will be independent of the actual length of maternity leave taken by the investigator. There is no parallel policy for men who take parental leave.

6.3

There is no limit to the number of maternity leaves that can be taken during the tenure of a given award. Each maternity leave will result in one additional year added to the term of the award.

6.4

The Research Prize will be provided for this additional year(s).

6.5

All requests for the extension must originate from the sponsoring institution and all general terms and conditions regarding AIHS independent investigator awards will continue to apply.

7.0 Sabbatical Leave

7.1

AIHS accepts applications for sabbatical leaves (continuation of salary and fringe benefits) for AIHS investigators according to standard university policy. Before taking a sabbatical, an investigator must submit a letter to AIHS outlining the purpose of the leave. In addition, the investigator's host institution must submit a letter supporting the leave.

7.2

The extent of support will depend on: the institutional contribution to salary and benefits; the regulations of the investigator's institution; and, salary arrangements for the investigator while on leave.

7.3

The activities planned during the leave must be relevant to the research for which the investigator received his/her AIHS award.

7.4

No requests for sabbatical leave support will be considered if received past the start date of the sabbatical leave.

7.5

The investigator can request from AIHS a travel grant for an amount equivalent to return economy airfare (one trip only) and ground transportation costs (one trip only between the airport and the host institution).

7.6

The investigator may request from AIHS a research allowance of up to \$5,000 per annum (prorated from shorter stays) to assist with expenses incurred in the host laboratory. The research allowance will only be provided if the investigator does not remain in his/her regular research setting.

8.0 Communications

8.1

All AIHS investigators are required to acknowledge the Alberta Heritage Foundation for Medical Research in all public or scientific publications, media interviews, websites, signage, lectures, conferences, as well as institutional listings, events, and publications.

8.2

Materials for the media concerning the investigator's research and generated by the investigator's institution must include acknowledgement of AIHS funding, the AIHS logo, and if appropriate, a quote from the AIHS President and CEO and a standard description of AIHS, which can be obtained from AIHS's Communications Department.

8.3

The AIHS logo should be included in printed or electronic materials relating to AIHS funded research, including presentations, publications, news releases, signage, websites, advertising, promotional materials, etc.

8.4

Investigators must inform the AIHS communications staff in advance if their research will be published in a major journal such that it might result in a press release from the university and/or the journal.

8.5

Investigators will, from time to time, be asked to participate in AIHS-generated media work, interviews, student mentorship, or public events.

8.6

AIHS reserves the right to publish and/or disseminate information regarding its grants and awards.

9.0 Support of Research Integrity

9.1

AIHS supports Alberta research institutions in their efforts to promote and ensure the highest standards of research and scholarship practice and behavior.

9.2

It is incumbent upon each applicant to adhere to all research policies and procedures in place at his/her institution, including those regarding integrity in research and scholarship.

9.3

AIHS reserves the right to confirm, through independent means, representations of authorship, credentials or research support.

9.4

In the event of material deviations in the submitted information, including citation sources (in the case of authorship), issuing organization(s) (in the case of credentials), or granting agencies (in the case of research support), AIHS reserves the right to disqualify any applicant from the competition in question. Further AIHS actions may include disqualifying the applicant from future AIHS competitions for a time period to be set at AIHS's sole discretion, withdrawal of any remaining installments of support for any existing AIHS grant or award for which misrepresentation appears in the submission, and seeking partial or full repayment of any past financial support under any AIHS grant or award for which misrepresentation appears in the submission.

10.0 Termination of Award

10.1

AIHS reserves the right to terminate any award if the conditions of the award are not met, or if there is evidence of unsatisfactory progress.

11.0 General Terms and Conditions

11.1

All general terms and conditions governing AIHS research funding will apply to these awards.