

## Social Behavioral Research Grant (SB) Program Description

### IMPORTANT NOTES

- APPLICANTS ARE LIMITED TO SUBMITTING ONLY ONE APPLICATION PER ANNUAL CYCLE.
- APPLICANTS ARE **STRONGLY ADVISED** TO READ COMPLETELY THROUGH THE PROGRAM DESCRIPTIONS AND GUIDELINES BEFORE STARTING AN APPLICATION.
  - FOR HELP WITH THE ELECTRONIC APPLICATION PROCESS, E-MAIL: [PCSUPPORT@ALTUM.COM](mailto:PCSUPPORT@ALTUM.COM)
  - FOR QUESTIONS REGARDING THE AWARDS & GRANTS PROGRAM, EMAIL: [RESEARCH@LUNG.ORG](mailto:RESEARCH@LUNG.ORG).
- APPLICANTS FOUND INELIGIBLE OR NONCOMPLIANT WITH THESE GUIDELINES WILL BE ADMINISTRATIVELY WITHDRAWN.
- IT IS RECOMMENDED THAT APPLICANTS RETAIN A COPY OF THIS DOCUMENT FOR FUTURE REFERENCE.

The American Lung Association (ALA) offers annual funding opportunities as a part of its Awards and Grants Program. The goals of the Awards and Grants Program are as follows:

1. to foster laboratory, patient-centered and social-behavioral research designed to prevent and relieve the suffering associated with all lung diseases and corresponding risk factors
2. to fund researchers at important crossroads of their careers to gain long-term commitment to lung disease research

The objective of the **Social Behavioral Research Grant** is to provide seed monies to **junior investigators** working on various disciplines of **social science** examining risk factors affecting lung health including:

Psychosocial research  
Behavioral research  
Health services and health policy research  
Epidemiology / Biostatistics research  
Public Health Education research

The Social Behavioral Research Grant is for **\$40,000 per year**. No more than 25% of the requested budget may be used for an awardee's salary and/or fringe benefits and no more than 30% of the total award budget may be used to fund the purchase of permanent equipment. Grant funds may be used for the salary and fringe benefit costs of personnel other than the Applicant. Fringe benefit costs may only be expended upon the stipulation that they not be obtained from another source.

All awards are subject to availability of funds at the ALA on the start date. Grants are subjected to annual review and may be granted for two years. The second year of support is based on demonstrating satisfactory progress, as well as, the availability of funding from the ALA.

### ELIGIBILITY

#### **Education and Experience**

At the time of application, an applicant must hold a doctoral degree and have a faculty appointment or equivalent with demonstrated institutional commitment (salary support, research space) in a recognized academic or other not-for-profit institution. *Fellows and PhD post-docs are eligible to apply only if their Department Chair can assure a promotion to faculty status by the start of the award.* MD applicants must have completed two years of post-doctoral research training by the start of the award.

**Medical residents, those presently enrolled in a degree program (e.g., graduate students), and established investigators are not eligible to apply.** Factors that are considered indicative of established investigatorship include,

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but are not limited to, academic rank of professor or associate professor, awards of established investigatorship (e.g., NIH-R01 Awards, Veterans Administration Merit Review Awards), an extensive bibliography, or a national reputation as an investigator in their field.

### **Mentor Requirement**

Applicants should be on-track to pursue a career in lung disease research with a mentor who has a demonstrated history of research experience and mentorship.

### **Citizenship**

At the time of application, candidates must be United States citizens or foreign nationals holding one of the following visa immigration statuses: permanent resident (**Green Card**), exchange visitor (**J-1**), temporary worker in a specialty occupation (**H-1B**), Canadian or Mexican citizen engaging in professional activities (**TN**), Australians in Specialty Occupation (**E-3**) or temporary worker with extraordinary abilities in the sciences (**O-1**). At the time of application and throughout the award, an applicant must be employed by a U.S. institution.

### **APPLICATION DEADLINE**

A letter of intent is not required for the Social Behavioral Research Grant. All applications must be submitted electronically through [proposalCENTRAL](#). The deadline for submission is **December 16, 2015**.

### **PEER REVIEW**

Applications deemed eligible for funding will go through a rigorous external peer review process. Factors considered when reviewing applications include:

- Scientific merit, technical feasibility, innovation and relevance to the mission of the ALA
- Applicant's education, experience and recommendation letters
- Research environment
- Likelihood that the applicant will engage in an ongoing career in lung health research.
- Department Chair (or equivalent) letter clearly assuring faculty appointment with demonstrated institutional commitment before the start of an award.

Results will be sent to all applicants via email in **May 2016** at the earliest. **Telephone or email requests for results will not be responded to.**

### **ALA TERMS AND CONDITIONS**

#### **Animal Use**

The ALA allows animal use in biomedical research only when no other means of obtaining scientifically sound, valid and useful results are available. Applicants/ awardees must comply with the Public Health Service Policy on *Human Care and Use of Laboratory Animals* and the National Research Council *Guide for the Care and Use of Laboratory Animals* to the same extent as each would were the research funded by the National Institutes of Health. A copy of the Institutional Animal Care and Use of Committee (IACUC) approval and/or the Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation must be provided to the ALA before the start of an award; otherwise the award may be administratively withdrawn. **Applicants from institutions that do not have accreditation from the AAALAC, USDA and/or IACUC are not eligible to apply.**

#### **Authorized Award Holders**

Awards are granted on behalf of specific individuals. Awards cannot be transferred to another individual. If a grantee cannot complete the research, the funds will revert back to the ALA.

#### **Award Allocation**

Social Behavioral Research Grants are for \$40,000 per year. No more than 25% of the requested budget may be used for an awardee's salary and/or fringe benefits and no more than 30% of the total award budget may go to fund the purchase of permanent equipment.

#### **Award Payments**

Award payments are issued twice a year in July and January by the ALA.

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### **Biohazards**

Biohazards are broadly defined to be recombinant and/or infectious and tumor materials that may be deleterious to normal organisms upon controlled exposure. Research involving biohazards requires **a copy** of the appropriate institutional committee approval to be sent to the ALA before the start of an award; otherwise the award may be administratively withdrawn.

### **Carry Over or Extensions**

Requests for carry over or award extensions require prior approval by the ALA. *All requests must be in writing and sent to [Research@lung.org](mailto:Research@lung.org).* The written requests for carry over and/or extensions must be received by the ALA thirty days prior to the award's official termination date. When requesting a carry over, the awardee must indicate: the amount, from what budget line and to what budget-line the monies are being applied. In the case of supply or equipment budget, all items must be itemized. *Awardees can only request a carry over or extension once per award.*

### **Change of Budget**

Requests for changes in budget require prior approval by the ALA. *All requests must be in writing and sent to [Research@lung.org](mailto:Research@lung.org).* When requesting a change in budget, the awardee must indicate: the amount, from what budget line and to what budget-line the monies are being transferred. In the case of supply or equipment budget, all items must be itemized.

### **Change of Status**

Transfer of an award from one institution to another requires prior approval by the ALA and is approved on a case to case basis. *All requests must be in writing and sent to [Research@lung.org](mailto:Research@lung.org).* All unexpended funds must be returned to the ALA within 45 days of transfer approval. Once the ALA receives the unexpended funds, they will be reissued to the new institution if the transfer is approved.

### **Correspondence and Communications**

The ALA will correspond directly with the awardee. As such, it is the responsibility of the awardee to ensure institutional personnel are copied on all ALA correspondence. Award recipients are expected to collaborate with the ALA's marketing and communications team to share the relevance of their project with our constituents.

### **Equal Employment Opportunity**

The ALA will only award individuals working in institutions identified as Equal Opportunity Employers.

### **Equipment Expenditures**

No more than 30% of the total award budget may be used to fund the purchase of permanent equipment. Equipment is defined as an item that costs \$500 or more, has a primary function related to the research project, and ordinarily has a usable life expectancy of one year or greater.

### **Equipment and Supply Purchases**

Upon conclusion of the award, equipment and supplies purchased with funds from the award become the property of the institution at which the work was done. *Any departure from this clause requires prior written approval from the ALA.*

### **Equipment Repair & Service Contracts**

No award shall be used for repair or service contract costs for institutional equipment.

### **Financial Report**

At the conclusion of the award, the ALA requires the completion of a financial disbursement report covering the entire award period and reflecting the award expenditures as originally approved. Any funds used for unauthorized expenditures or unexpended funds must be returned to the ALA, with the disbursement report, within 60 days after the award has terminated. ***The ALA does not require a financial disbursement report to be completed at the end of each year of support.***

### **Human Subjects and Stem Cells**

All research conducted on human subjects and/or human stem cells must comply with the provisions of the United States Department of Health and Human Services 45 C.F.R. pt. 46 to the same extent as each would were the research funded by the National Institutes of Health. Assurance of the Institution Review Board (IRB) approval and/or

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exemption and approved patient consent forms must be provided to the ALA prior to the start of an award; otherwise the award may be administratively withdrawn. If the proposed research project involves human subjects, the population sampled shall be inclusive of the general population, of relevance to the scientific question posed, without restriction in regard to gender, race, age, and socioeconomic status. Proposals that intentionally restrict the population sampled must include a compelling scientific rationale for such design.

***It is recommended that applicants submit projects to the appropriate human subjects Institutional Review Board at the time of application or before.***

### **Legal Liability**

The ALA will not assume responsibility for and the grantee institution will indemnify and hold the ALA harmless from any lawsuit, claim, judgment, damages, awards, or malpractice arising from research or investigations related to an award as a condition of accepting this award.

### **Other Funding**

No other ALA award may be held concurrently with the Social Behavioral Research Grant. An investigator who has previously received an ALA Biomedical, Clinical, Social-Behavioral, Dalsemer Research Grant or any other junior-level independent investigator award is not eligible for additional Research Grant support.

Applicants/awardees can hold active career development grants (such as K awards) but they may not hold an award of established investigatorship or large grant (e.g., RO1, VA Merit Review Award) at any time during their ALA award.

ALA funds shall not be used to duplicate any work supported by other funding agencies. ***It is the responsibility of the applicant/awardee to notify the ALA at [Research@lung.org](mailto:Research@lung.org) of any potential budgetary or scientific overlap.*** This includes the receipt of a new award during the period of the ALA award. An assessment of the degree of scientific overlap will be made on an individual basis. In cases of significant scientific overlap the applicant/awardee will have the option to choose between the ALA award and that of the other organization.

### **Overhead/Indirect Costs**

Overhead or indirect costs are not permitted.

### **Patent Policy**

Inventions and discoveries from research performed during the term of an ALA award will be subject to the current ALA patent policy, as well as, to the patent policies of the institution where the work is performed.

### **Progress Reports**

Periodic progress reports may be requested and must be completed to assist the ALA in shaping future policies with respect to its award program.

### **Project Support Expenditures**

No award shall be used for the purchase of furniture, computers, the construction or renovation of facilities, payment of honoraria, membership dues or tuition, purchase of textbooks or periodicals or payment for secretarial support.

### **Publications**

All publications and/or presentations at scientific conferences and meetings based on research conducted from this award **must acknowledge “the support of the American Lung Association”**. Reprints of abstracts, manuscripts, or other articles that reflect research conducted under this award must be submitted to the ALA.

### **Publication Expenditures**

The maximum amount of funds expendable for publication costs is \$1,000 per year. All publication costs must directly relate to the ALA project.

### **Renewals**

Awards are subjected to annual review and may be granted for two years. The second year of support is based on demonstrating satisfactory progress, as well as, the availability of funding from the ALA. Awardees are required to complete a Renewal Application for each year the award is subject to renewal.

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### **Tobacco Funded Research and Other Conflicts of Interest**

The ALA will not provide research or other funding to investigators who have received direct funding or funding from agencies of the tobacco industry. ALA applicants/awardees must comply with the provisions of the United States Department of Health and Human Services regulations on financial conflicts of interest 42 C.F.R. pt. 50, subpt. F to the same extent as each would were the research funded by the National Institutes of Health.

### **Travel Expenditures**

The maximum amount of funds expendable for travel is \$1,000 per year.

### **ALA PATENTS AND INTELLECTUAL PROPERTY**

- a. All inventions or intellectual property made with support in whole or in part by research or training grants or awards from the American Lung Association must be reported at the earliest practical time to the Research Division. The grantee institution or individual awardee agrees to notify the American Lung Association immediately of the decision to apply for patents or other legal protection for intellectual property, and to consider seriously and in good faith any comments or objections the American Lung Association may have concerning such applications. The Association agrees to keep all information confidential and to not release any information relating to such inventions, intellectual property or applications. All patenting expenses shall be borne by the grantee institution or individual awardee.
- b. Title to any invention or intellectual property shall reside in the grantee institution to the extent that such title is claimed by the institution under its patent policy or procedure and paragraphs c-h shall apply. If a grantee institution has no established patent policy or procedure for administering inventions or intellectual property, or if the institutional patent policy or procedure does not claim rights for the institution or individual inventor, then the American Lung Association shall have the right to determine the disposition of invention or intellectual property rights and paragraphs c-f shall not apply.
- c. Distribution of income derived from an invention or intellectual property which might include equity disposition shall be according to the policies of the grantee institution, although the American Lung Association would expect to participate in income derived from the invention or intellectual property to the extent and at a rate of remuneration determined by mutual agreement between the grantee institution and the American Lung Association no later than six months after first receipt of income. Such agreement shall be guided by the principle that the Association's proportion of sharing in the income shall be reasonably related to the Association's proportion of support for the invention or intellectual property.
- d. If any invention or intellectual property is made with the joint support of the American Lung Association and other organizations, it is expected that income distribution shall be in accordance with the provisions of the policy. Should an exception be taken to this provision, the grantee institution, the American Lung Association, and other sponsoring agencies will confer to reach a mutually satisfactory disposition of invention or intellectual property rights.
- e. No patent, patent application or other type of protection shall be abandoned without first notifying the Research Division. At such time, the grantee institution and individual awardee shall give the American Lung Association the opportunity to take title to the invention or other intellectual property.
- f. The grantee institution shall agree that when it licenses any invention or intellectual property it will obligate the licensee as follows: The licensee agrees to exert its best efforts to commercialize or cause to be commercialized the invention or intellectual property as rapidly as practical, consistent with sound and reasonable business practices and judgment. In the event that the licensee has failed to commercialize the invention or intellectual property within the number of years determined to be reasonable for the invention or intellectual property, the grantee institution upon conferring with the Association shall have the right to convert an exclusive license to a non-exclusive license or to terminate a non-exclusive license. If the licensee or grantee institution has an ongoing and active research, development, manufacturing, marketing or licensing program as appropriately directed toward the production and sale of the invention or intellectual property, the same would be deemed to be sufficient evidence that the licensee or grantee institution has commercialized the invention or intellectual property.
- g. The American Lung Association reserves the right to public acknowledgement for inventions or intellectual property resulting from support by the Association; however, the American Lung Association name and logo may not be used in association with an invention or intellectual property without prior approval of the Association.
- h. The American Lung Association may have use of inventions or intellectual properties without payment of royalties or fees, but solely for use within the Association for intramural purposes and not for any of its grantee institutions or individual awardees.