



## **Social Behavioral Research Grant (SB) Program Description**

### **IMPORTANT NOTES**

- **APPLICANTS ARE ADVISED TO READ THE INDIVIDUAL AWARD PROGRAM DESCRIPTIONS AND INSTRUCTIONS BEFORE STARTING AN APPLICATION.**
- **APPLICANTS WHO ARE DEEMED INELIGIBLE FOR THIS AWARD AND/OR DO NOT FOLLOW THE INSTRUCTIONS FOR PREPARING AN APPLICATION WILL BE ADMINISTRATIVELY DISQUALIFIED AND NOT REVIEWED.**
- **APPLICANTS ARE ONLY ALLOWED TO SUBMIT ONE APPLICATION PER REVIEW CYCLE. ONCE AN APPLICATION IS SUBMITTED ON proposalCENTRAL, IT CANNOT BE CHANGED FROM ONE AWARD TYPE TO ANOTHER.**
- **PRINT AND RETAIN A COPY OF THIS DOCUMENT FOR FUTURE REFERENCE.**

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 lung health research
- > Behavioral lung health research
- > Health services and health policy research
- > Epidemiological and biostatistical lung health research
- > Public Health education research

The American Lung Association is particularly interested in receiving meritorious applications from individuals working in areas that are aligned with the following mission-related Strategic Planning Goals:

- > Eliminate tobacco use and tobacco-related lung diseases
- > Improve the air we breathe so it will not cause or worsen lung disease
- > Reduce the burden of asthma, COPD and lung cancer on patients and their families

***The American Lung Association is also interested in receiving applications to evaluate our premier smoking cessation program, Freedom From Smoking® (FFS). FFS is based on the proven addiction and behavior change models and offers a structured, systematic approach to quitting. For more information on FFS, please go to <http://www.lungusa.org/stop-smoking/how-to-quit/freedom-from-smoking>.***

### **ELIGIBILITY**

#### ***Education and Experience***

At the time of application, an applicant must hold a doctoral degree, be assured of a faculty appointment or equivalent with demonstrated institutional commitment (salary support, research space) by the start of the award. He/she must have completed two years of post-doctoral research training by the start of the award. Grantee organizations must be recognized academic or other non-profit research entities.

***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, but are not limited to, academic rank of professor or associate professor, awards of established investigatorship or large grants (e.g., NIH-R01 Awards, Veterans Administration Merit Review Awards), an extensive bibliography, or a national reputation as an investigator in the field of pulmonary disease and critical care medicine.

#### ***Citizenship***

At the time of application, candidates must be United States citizens or foreign nationals holding



## **Social Behavioral Research Grant (SB) Program Description**

one of the following visa immigration statuses: permanent resident (**Green Card**), exchange visitor (**J-1**), temporary worker in a specialty occupation (**H-1, H-1B**), Canadian or Mexican citizen engaging in professional activities (**TC or TN**), or temporary worker with extraordinary abilities in the sciences (**O-1**). **Non-citizens must submit a notarized copy of proof of possession of a Green Card, J-1, H-1, H-1B, TC, TN or O-1 visas.** At the time of application and throughout the award, an applicant/awardee must be employed by a U.S. institution.

### **AWARD INFORMATION**

#### ***Award Structure and Allocation***

Social Behavioral Research Grants are \$40,000 per award year. 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 American Lung Association.

No more than 25% of the requested budget may be used for an awardees 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.

#### ***Personnel Expenditures/Other***

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.

### **FACTORS CONSIDERED IN EVALUATING APPLICATIONS**

#### ***Factors considered when reviewing applications include:***

- Scientific merit, innovation, and feasibility of the research plan and its relevance to the mission of the American Lung Association.
- Applicant's education, experience, publications, letters of recommendation.
- Research environment.
- Likelihood that the applicant will continue to have a career in lung and/or other relevant research.
- Department Chair (or equivalent) letter clearly assuring faculty appointment with demonstrated institutional commitment before the start of an award.

### **APPLICATION DEADLINE**

The deadline for online submission is **October 20, 2011, 11:59 p.m. Eastern Time.**

Applicants are required to submit **one signed original plus two copies** of all application materials to the following address:

**Research and Program Services  
American Lung Association  
14 Wall Street, 8th Floor  
New York, NY 10005**

**Applications must be post-marked by the deadline date of October 20, 2011.**

### **ASSISTANCE WITH APPLICATIONS**

American Lung Association National Office staff members are available to assist with questions regarding programs, eligibility, policies, terms and conditions or application instructions. However, the American Lung Association **strongly recommends** that applicants first read through the entire program description and application materials before contacting staff.

For questions, please contact: 212-315-8741.



## **Social Behavioral Research Grant (SB) Program Description**

For help with the electronic application process, please contact the help desk for proposalCENTRAL: E-mail: [pcsupport@altum.com](mailto:pcsupport@altum.com); Phone (toll-free): 1-800-875-2562.

### **PEER REVIEW RESULTS**

The American Lung Association will provide results of the peer review process to each applicant in April or May 2012. Applicants will receive a letter from the American Lung Association with the final outcome and reviewer critiques will be available electronically via proposalCENTRAL.

***Telephone or email requests for results will not be responded to.***

### **TERMS AND CONDITIONS**

Following are the Terms and Conditions that apply to the American Lung Association Social Behavioral Research Grant:

#### **Animal Use**

The American Lung Association 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. One 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 American Lung Association as a part of the original application **(not included electronically)**.

**Applicants from institutions that do not have accreditation from the AAALAC, USDA and/or IACUC are not eligible to apply.**

#### **Authorized Award Holders**

The American Lung Association grants research awards to institutions on behalf of specific individuals. No award may be transferred to another individual. If the grantee individual cannot complete the research, the funds will revert back to the American Lung Association.

#### **Award Structure and Allocation**

Social Behavioral Research Grants are for \$40,000 per award year. Grants are subject to an annual review and may be granted for up to two years. The second year of support is based on demonstrating satisfactory progress, as well as, the availability of funding from the American Lung Association. 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**

The American Lung Association issues award payments twice a year – July and January of the award year.

#### **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 one copy of the appropriate institutional committee approval.

#### **Carry Over or Extensions**

Requests for carry over or award extensions require prior approval by the American Lung Association. *All requests must be in writing and directed to the Assistant Vice President, Research and Program Services Division.* The written requests for carry over and/or extensions must be received by the American Lung Association 30 days prior to the award's official



## **Social Behavioral Research Grant (SB) Program Description**

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 American Lung Association. *All requests must be in writing and directed to the Assistant Vice President, Research and Program Services Division.* 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 American Lung Association award from one institution to another requires prior approval by the American Lung Association and is approved on a case to case basis. *All requests must be in writing and directed to the Assistant Vice President, Research and Program Services Division. All unexpended funds must be returned to the American Lung Association within 45 days of transfer approval.* Once the American Lung Association receives the unexpended funds, they will be reissued to the new institution if the transfer is approved.

### **Correspondence**

The American Lung Association national office directs all correspondence to the awardee. As such, **it is the responsibility of the awardee to ensure institutional personnel are copied on** American Lung Association replies to correspondence.

### **Equal Employment Opportunity**

American Lung Association awards will be awarded to 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 Term requires prior written approval from the American Lung Association.*

### **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 period, the American Lung Association requires a complete financial disbursement report covering the entire award period. The American Lung Association issues the disbursement report to the person receiving the award funds. The disbursement report must reflect the award expenditures as approved by the American Lung Association. Any funds used for unauthorized expenditures or unexpended funds must be returned to the American Lung Association, with the disbursement report, 45 days after the award has terminated. *The American Lung Association does not require a financial disbursement report to be completed at the end of each year of support.*



## **Social Behavioral Research Grant (SB) Program Description**

### **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. One copy of the Institution Review Board (IRB) approval and/or exemption and approved patient consent forms must be provided to the American Lung Association prior to the start of an award.

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

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.

***If the IRB approval/exemption and approved patient consent forms are not provided to the American Lung Association by the start of an award, the award will be withdrawn.***

### **Legal Liability**

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

### **Other Funding**

No other American Lung Association award may be held concurrently with the American Lung Association Social Behavioral Research Grant. An investigator who has previously received a Clinical, Biomedical, American Lung Association/Alpha-1 Foundation, American Lung Association/LAM Foundation, Social Behavioral or Dalsemer Research Grant from the American Lung Association is not eligible for additional national 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 American Lung Association award.

The American Lung Association research funds shall not be used to duplicate any work supported by other funding agencies. *It is the responsibility of the awardee to notify the Assistant Vice President, Research and Program Services Division of any potential budgetary or scientific overlap.* An assessment of the degree of scientific overlap will be made on an individual basis. In cases of significant scientific overlap the applicant will have the option to choose between the American Lung Association 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 American Lung Association award will be subject to the current American Lung Association 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 American Lung Association in shaping future policies with respect to its award program.



## **Social Behavioral Research Grant (SB) Program Description**

### **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 done after award acceptance must be submitted to the American Lung Association.

### **Publication Expenditures**

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

### **Renewals**

Renewal of an American Lung Association award is based on a demonstration of satisfactory progress and the availability of funding. Awardees are required to complete an American Lung Association Renewal Application form for each year the award is subject to renewal.

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

The American Lung Association will not provide research or other funding to investigators who have received direct funding or funding from agencies of the tobacco industry.

American Lung Association 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.

#### **AMERICAN LUNG ASSOCIATION 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 and Program Services 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

## **Social Behavioral Research Grant (SB) Program Description**

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 and Program Services 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.