

GUIDELINES FOR RESEARCH FUNDING

**RESEARCH FUNDING PROGRAM
NUTRITION RESEARCH
DAIRY FARMERS OF CANADA**

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GUIDELINES FOR RESEARCH FUNDING

I. INTRODUCTION

DAIRY FARMERS OF CANADA (DFC) is a non-profit organization, funded by dairy producers across Canada, for which our mandate is *to ensure optimal consumption of dairy products for the health benefits of the population*. The Nutrition Department of DFC administers the research funding program (the "**Funding Program**"). Dairy producers in Canada have acknowledged the need, and realize the importance, for dairy research. While the areas funded are of interest to the dairy industry, the Funding Program advances fundamental knowledge in many fields of research and increases Canada's overall competitiveness.

DFC has adopted a peer-review system and a funding application process (see **Funding Application Process**) similar to major granting agencies.

Please Note: Under an agreement reached in the spring of 1996 between the Natural Sciences and Engineering Research Council of Canada (NSERC) and DFC, proposals selected by DFC in its annual Nutrition Research Program competition could be submitted to the NSERC Collaborative Research and Development (CRD) Grants program www.nserc-crsng.gc.ca/index_eng.asp. The funding for projects that meet the criteria for both agencies may be shared on an equal basis.

As of 2011, it is **necessary** for the investigator to make a **separate** application to NSERC, once the proposal is selected by DFC, using NSERC submission process. To be eligible for NSERC CRD funding, graduate trainees must be included in the application whether a budgetary need is required or not. If the student has a scholarship already, list that scholarship. If not, stipend support at the NSERC level must be included to be considered for CRD funding.

NB: Please ensure that your proposal meets the criteria for funding by NSERC prior to asking for matching funds as there are strict criteria especially as related to studies involving humans or disease processes.

II. RESEARCH PRIORITIES

The objective of the Funding Program is to gain a better understanding of the specific role of dairy products in attaining and maintaining optimum health. DFC considers Funding Applications that have nutritional and health implications for Canadian dairy products and are relevant to Canadian dairy farmers. In addition, DFC has a special interest in encouraging research that will help bring innovative and competitive dairy products with health benefits to the market.

Of specific interest to DFC are Funding Applications which feature dairy products in their entirety, demonstrate technological innovation and utilize a multidisciplinary approach, whenever possible, to address fundamental and applied research questions. Applied human randomized, controlled trials and in vivo mechanistic studies are of particular interest.

Please refer to our website <http://www.dairynutrition.ca/research-funding> for our latest research priorities.

III. ELIGIBILITY

Investigators proposing to undertake studies relevant to human health and who hold an academic appointment in a Canadian university or affiliated institution (a "**Research Institution**") are eligible to apply to DFC.

The principal investigator (the "**Principal Investigator**") is responsible for the complete direction of the approved study (hereinafter the "**Study**") and other activities associated with its efficient execution. The role of the co-investigator(s) of the Principal Investigator must be clearly defined.

Students and trainees are normally not eligible to act as co-investigators. Postdoctoral fellows may act as a co-investigator but will not be eligible to draw funds from the grant in such a case.

A researcher cannot hold two grants for Studies simultaneously at DFC for which he/she is the Principal Investigator. However, the same researcher can be co-investigator of no more than one additional Grant (as defined hereinafter).

Applications received from investigators of non-Canadian universities may be considered at the entire discretion of DFC.

IV. FUNDING PROGRAM ADMINISTRATION

Research Funding Program (see Funding Application Flow Chart on last page)

For new Funding Applications, a Letter of Intent must first be received by the Administrative Assistant, Research Funding Program of DFC (the "**Letter of Intent**") for consideration of a Grant starting **January 1st of the following year**. Please consult our website for deadlines for Letters of Intent at <http://www.dairynutrition.ca/research-funding>

The Letter of Intent will undergo peer review by the Nutrition Expert Scientific Advisory Committee, an independent body of researchers who will evaluate the Letter of Intent. Applicants, whose Letter of Intent is considered to have scientific merit and is within current research priorities and funding capabilities of DFC, will be invited to complete a detailed Grant Proposal.

A detailed review of the Grant Proposal will be undertaken by DFC's Nutrition Expert Scientific Advisory Committee, in addition to being peer-reviewed externally. A final decision concerning the funding of the Study will usually be available by **September of each year**. However, the final decision may take longer due to co-funding with NSERC. If this is the case, it will be communicated.

When a deadline date falls on a weekend or holiday, the deadline date will be extended to the next business day. In certain instances, Study projects of interest to DFC, that fall outside the established time lines, may be considered.

V. FUNDING APPLICATION PROCESS

a) Letter of Intent

The Letter of Intent must be submitted on DFCs form, in three (3) copies (one original and 2 copies), as well as an electronic version submitted via email. A *PDF of the Letter of Intent form can be found on our website at: www.dairynutrition.ca/research-funding.

Please note: The same investigator can submit more than one Letter of Intent. However, regardless of how many Letters of Intent are approved by our scientific review, only one Grant Proposal per Principal Investigator can be submitted for final review. Switching the names of Principal Investigator and co-investigators is not appropriate and may exclude the Letter of Intent or the entire Grant Proposal from further consideration.

The form provided for the Letter of Intent is self-explanatory and specifically designed to eliminate the need for additional supporting material to transmit relevant information (i.e., appendices or cover letter).

To provide additional guidance, please note the following:

- be very clear and give careful thought to the section "Significance of the Project (particularly to the dairy industry)";
- consider the research priority areas identified by DFC (such as those set forth in Section II hereof);
- primary consideration will be given to Letters of Intent received from within Canada should Funding Applications of equal merit be received from outside Canada; and
- in the case of new uses of dairy products or new technologies, provide a short discussion of the economic feasibility.

b) Grant Proposal

Upon approval of the Letter of Intent, DFC will provide a Grant Proposal Form to be completed and submitted to the Administrative Assistant, Research Funding Program of DFC. Specific guidelines regarding the completion of the Grant Proposal Form and additional information about the administration of

the Study is contained in Sections VI-XIII of this document.

c) Consideration for Grant Proposal

The Grant Proposal will be peer-reviewed using an evaluation system similar to those used by well-established granting agencies (i.e., NSERC, Canadian Institutes of Health Research (CIHR)). Grant Proposals will be considered according to their scientific merit, available research facilities and current available budget and research priorities of DFC. Grant Proposals received from within Canada will be given primary consideration. In exceptional circumstances, a Grant Proposal from outside Canada may be considered.

Note: Approval of the Letter of Intent and/or the Grant Proposal does not ensure Study funding *per se*. Approval is considered final upon signing of the Memorandum of Agreement.

VI. GUIDELINES FOR GRANT PROPOSAL

The Grant Proposal must be submitted on DFCs form, in three (3) copies (one original and 2 copies) double-sided, as well as an electronic version submitted via email in *.PDF format submitted to the Administrative Assistant, Research Funding Program of DFC. Please comply with the space and format limitations as presented in the Grant Proposal Form. Do not use photo-reduced type. Please ensure that the copies are copied back-to-back. The **font size** should **not** be **less than 12 points**.

a) Title of Study

The title of the Study should reflect the specific objective of the research investigation. In order to interpret more fully the Study to the dairy industry, two separate titles are requested: one for professional interpretation and another for lay interpretation. These titles may be modified upon mutual agreement between DFC and the Principal Investigator. Please provide French translation if possible or if requested by DFC.

b) Personnel

Biographical information, as outlined in the special form provided by DFC, is requested for the Principal Investigator and co-investigator(s). The Principal Investigator's research experience and publication record in the field of the Study is given primary consideration. Please keep biographical information separate from the Grant Proposal. Research contributions in the field of the Study should be **limited to five (5) pages, single-sided**. A common CV such as that used by CIHR or NSERC is also acceptable.

c) Budget Information

DFC funds research for a maximum of 2 years. The usual level of funding is on average ~ 50K per year. For projects that require > 70K per year from DFC, it is strongly recommended that a co-funding source be identified.

Detailed information about the financial requirements for the Study is to be provided as outlined below.

- **Personnel**

Salaries or portions thereof and fringe benefits for specific personnel named in the application will be honoured. There are four categories of individuals who may be paid from grant funds allowed (hereinafter, a "**Grant**"):

1. Research personnel whose skills are required to conduct the Study;
2. Technicians who are formally classified as such by their Research Institutions;
3. Research trainees who are full-time students in a registered MSc or PhD program. Trainees should be Canadian citizens or permanent residents of Canada. Under special circumstances, consideration will be given to registered foreign students; or
4. Post-doctoral fellows who hold a MD, DDS, DVM. or PhD (unless they are co-investigators).

Please note: One of NSERC's criteria for CRD programs is the obligation to train graduate students in MSc or PhD programs.

Budget justification for personnel is to be included. Please limit to two pages, single-sided.

DFC reserves the right to request further information regarding fringe benefits. Salaries for Principal Investigator (and co-investigators) will not be honoured by DFC.

- **Major Equipment**

DFC does not provide equipment grants. However, in special cases where equipment is shown to be essential to the Study, DFC may, at its entire discretion, contribute to the purchase of major equipment upon request in writing from Research Institutions and/or Principal Investigator to such effect. Major equipment is considered a single item for which the price exceeds \$10,000.

- **Supplies**

Expenditures for expendable materials, such as experimental animals and feed, chemicals, glassware and supplies for existing equipment and routine maintenance of existing equipment will be honoured. Expenditures in excess of \$500 per article are to be itemized.

- **Publication and Publication Costs**

Publication of research results in a reputable, peer-reviewed scientific

journal is encouraged. Primary consideration should be given to Canadian journals or international journals with extensive readership in Canada. Publication costs **should not** be identified in the budget.

The **invoice** from the journal, for costs related to the publication of the manuscript, should be sent to DFC, to the attention of the Administrative Assistant, Research Funding Program. See Section X(a) for further details.

- **Travel**

Travel to scientific meetings within Canada or pertinent meetings outside Canada to present research data obtained from the funded Study is encouraged. Travel costs may be either \$2,000 per annum or 10% of amount of the Grant, whichever is less.

The use of the Grant in excess of the above-noted amount for travel cannot be made without the prior written approval from the Director, Nutrition and Research.

Subject always to the provisions of the Memorandum of Agreement (as defined hereinafter), a copy of abstracts and/or manuscripts which include DFC funded Study should be sent to DFC, to the attention of the Administrative Assistant, Research Funding Program, prior to submitting for publication or presentation.

- **Other Expenses**

Computer costs related to data analyses, reimbursement to Study subjects and other routine expenses incurred, as part of the funded Study will be honoured. Expenditures in excess of \$500 per item are to be itemized.

- **Overhead Charges or Indirect Costs**

There will be no overhead charges paid on DFC funded Study from DFC to the Research Institution, the Principal Investigator and/or, the co-investigator, as the case may be.

- **Unauthorized Expenses**

Consultant fees will not be honoured unless prior written approval is given by DFC.

d) Study Details

In the Grant Proposal, detailed information is required regarding background information with references; the hypothesis and specific objectives of the proposed Study; experimental design and methods to be used; statistical evaluation of data; available facilities and equipment; and the significance of research to the scientific community and especially to the dairy industry.

Please note: The body of the Grant Proposal should be self-contained and not be dependent on attachments. Appendices are appropriate for supplementary information. Manuscripts (no more than three) that are appended should be relevant to the current proposed Study.

VII. MEMORANDUM OF AGREEMENT

The Grant is to be used entirely for specific activities supervised by the Principal Investigator. Prior to initiation of the Study, a Memorandum of Agreement (available to view upon request) is entered into by and between the Principal Investigator, the Research Institution and DFC.

The Memorandum of Agreement defines the rights and obligations of the Principal Investigator, Research Institution and DFC, including without limitation:

- Principal Investigator and Research Institution's responsibilities in the conduct of the Study;
- The financial responsibilities of the parties with respect to the Study;
- The publication of the Study; and
- Any potential commercial use of the Study results.

VIII. FINANCIAL ACCOUNTABILITY

a) Payment

Disbursement of the Grant will be made according to the payment and report schedule included with the Memorandum of Agreement. The first installment of the Grant will be contingent upon receipt of a fully signed Memorandum of Agreement between the Principal Investigator, Research Institution and DFC.

b) Transfer of funds between budget categories

Expenditures which exceed budgeted items are permitted provided the total annual budget does not change. Budget transfers in excess of 10% of budget category require the prior written approval from DFC.

c) Financial Statement

In compliance with the Memorandum of Agreement, within 30 days of the termination of the Memorandum of Agreement, the Research Institution will provide DFC with a statement of expenditures.

A copy of the annual financial statement of Research Institution or such other financial information certified by an accountant or an auditor acceptable to DFC may be required by DFC, including a confirmation that the Grant has been expended in accordance with the Grant Proposal.

Please present the following information:

- . **Revenue**
 1. Unexpected balance "carried over" from previous year (if applicable).
 2. Credits received during accounting year.

- . **Annual Budget**

Budget for accounting year as outlined in the Memorandum of Agreement together with:

 1. Allocation of funds "carried over" from previous year into the budget categories (if applicable).
 2. Approved budget transfers.

- . **Disbursements**
 1. Personnel (itemize all salaries and benefits paid).
 2. Expendable research supplies (itemize all items).
 3. Travel expenses (itemize transportation, hotel, meals and incidentals).
 4. Other expenses (itemize all expenditures).

Note: For items 2-4, provide receipts for individual expenditures over \$500.

- . Balance as of **December 31st** (or end of annual funding period).

IX. REPORTS

All reports are to be submitted on a standard form provided by DFC and shall be to the satisfaction of DFC.

a) **Progress report**

The Progress report is required from the Principal Investigator on or before **October 1st** (or at the end of ninth months from the Study initiation) of the first year of the Study.

Failure by the Principal Investigator and/or Research Institution to comply with the preceding (i) shall prevent the disbursement of any future installments with respect to the Study; (ii) shall constitute a material breach of the Memorandum of Agreement; (iii) may, at the entire discretion of DFC, prevent Principal Investigator from presenting any Funding Application (as principal investigator or as co-investigator, as the case may be) for a period of up to five (5) years; and (iv) may, at the entire discretion of DFC, result in a termination or withholding of any installments payable under any other study in progress with such **Principal Investigator**.

b) Final Report

Research Institution and the Principal Investigator will provide DFC with a final report (the "**Final Report**") to be submitted within ninety (90) days following the Term of the Grant. It is possible to get an extension, subject to the approval of DFC. The Principal Investigator undertakes to inform DFC of any delay which may occur in the delivery of the Final Report.

This Final Report, submitted on a standard form, should summarize (as for the Progress report) the research activity over its entire duration, in accordance with the original objectives as listed in the Grant Proposal.

If the Principal Investigator would like to extend his Study for a third year, he must re-apply, with a Letter of Intent during the second year of funding. The request will be considered a "new" research proposal and will enter into competition for funds.

Failure by the Principal Investigator and/or Research Institution to comply with the preceding (i) shall constitute a material breach of the Memorandum of Agreement; (ii) may, at the entire discretion of DFC, prevent Principal Investigator from presenting any Funding Application (as principal investigator or as co-investigator, as the case may be) for a period of up to five (5) years; and (iii) may, at the entire discretion of DFC, result in a termination or withholding of any installments payable under any other study in progress with such **Principal Investigator**.

X. GENERAL INFORMATION

a) Publications

Subject to the provisions of the Memorandum of Agreement, a copy of all manuscripts and/or abstracts related to the funded Study shall be submitted to DFC for review and comments prior to any disclosure of the Study results and prior to submission for publication and/or presentation, to the attention of the Administrative Assistant.

The choice of the journal for publishing results rests with the Principal Investigator. Primary consideration should be given to reputable Canadian or international journals with extensive readership in Canada.

Publications resulting from DFC's support should be acknowledged in the following manner: "Supported by a Grant from Dairy Farmers of Canada", unless otherwise instructed by DFC.

Once published, a PDF of the final article shall be forwarded to the Administrative Assistant.

b) Other Communications of Research Results

The applicant should advise DFC of forthcoming public communications of research results at conferences, symposia, media events, or the like. The applicant should acknowledge the contribution of DFC to the Study, unless otherwise instructed by DFC. If required by DFC, the DFC logo has to be incorporated in such presentations for easier identification. To do so, a request must be addressed to DFC.

c) Modifications in the status of Principal Investigator

At the first reasonable opportunity, DFC should be notified by Research Institution of the death, incapacitation or relocation of the Principal Investigator. DFC reserves the right to reconsider and terminate its Grant's installments during the Study, if the appointment of a new principal investigator is not at DFC's entire satisfaction or if she/he has been appointed without prior written consent of DFC.

XI. ETHICAL CONSIDERATIONS

a) Animal Studies

Proposed research must be acceptable by an animal care committee appointed and operated in accordance with the Guide to the Care and Use of Experimental Animals of the Canadian Council on Animal Care (CCAC), Volume 1 (1980), Volume 2 (1984). The ethical acceptance form must be received by **DFC no later than sixty (60) days after the approval of the Grant Proposal**. If not provided within this time period, the Grant will not be released.

b) Human Studies

Proposed research must be approved by a research ethics board appointed and operated in accordance with the **Canadian Institutes of Health Research, Natural Sciences and Engineering Research Council of Canada, and Social Sciences and Humanities Research Council of Canada, *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, December 2010***. The ethical acceptance form must be received by DFC **no later than sixty (60) days after the approval of the Grant Proposal**. If not provided within this time period, the Grant will not be released.

XII. COMMERCIAL USE

In accordance with the provisions of the Memorandum of Agreement, Principal Investigator and Research Institution may acquire intellectual property rights from the Study results, which rights are subject to a right of first offer and a right of first refusal in favour of DFC. All communication or document will be treated in confidence by DFC. DFC shall receive a copy of any submissions or applications for patents, copyrights, trademarks or any

other form or registration made with respect to the Study results.

In addition to its rights under the applicable Memorandum of Agreement, DFC has an expressed interest in any collaboration with the Research Institution for licensing of the technology and/or invention by the Research Institution office of technology transfer. DFC may be able to help the Institution(s) in such efforts by bringing Canadian dairy industrial partners to the table.

XIII. ADDITIONAL INFORMATION

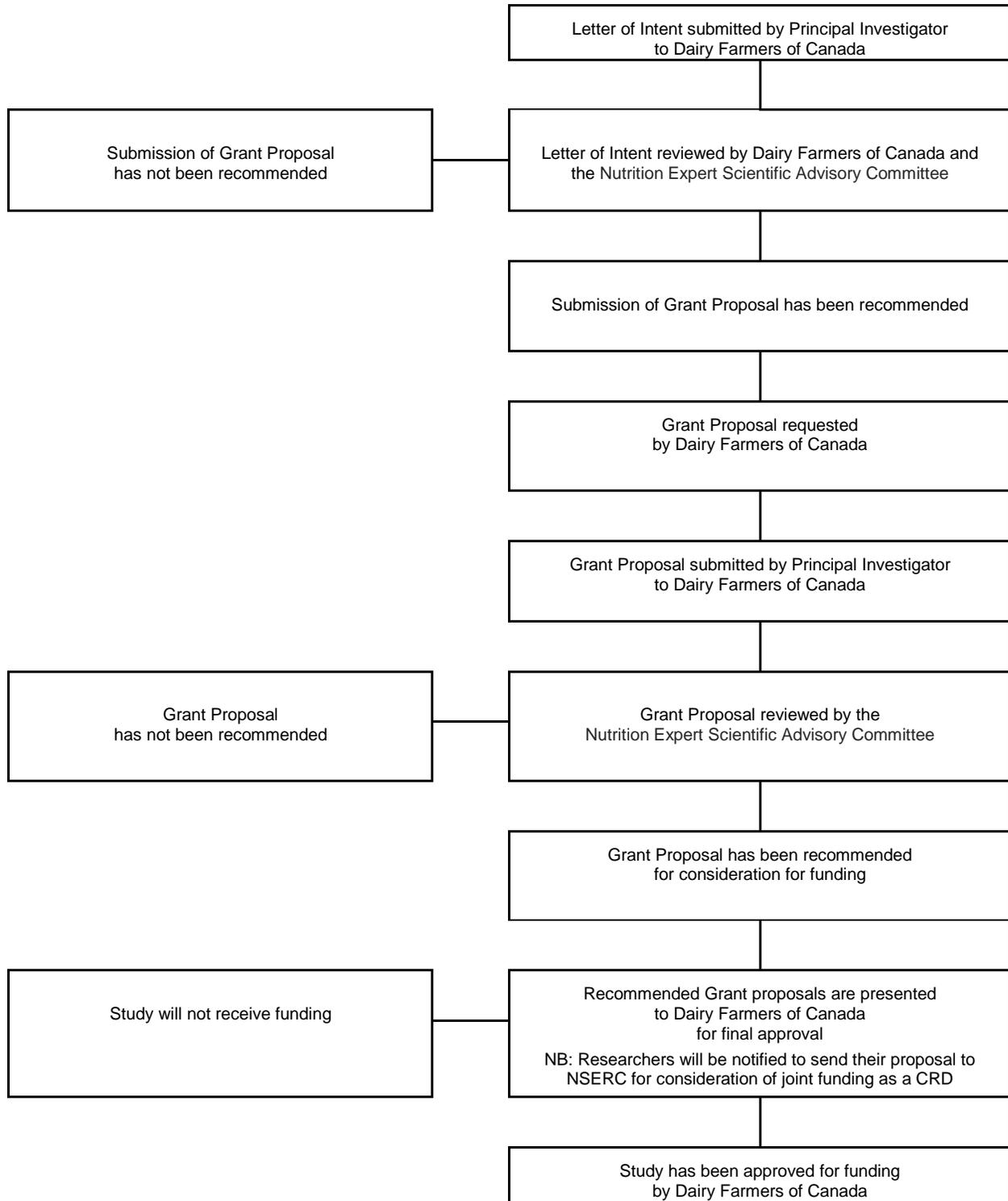
Failure to complete and submit the Letter of Intent or the Grant Proposal in the manner outlined in these guidelines may delay or preclude review by the Nutrition Expert Scientific Advisory Committee for funding by DFC.

Deviations from the above guidelines will be allowed only if approved by DFC.

All inquiries for additional information pertaining to any of the above points should be directed to:

Christiane d'Aragon
Administrative Assistant,
Research Funding Program
Dairy Farmers of Canada
1801 McGill College Avenue, Suite 700,
Montreal, QC H3A 2N4
Tel. :514 284-1092 # 258 Fax: 514 284-0449
E-mail: christiane.daragon@dfc-plc.ca

FUNDING APPLICATION FLOW CHART RESEARCH FUNDING PROGRAM



Unless the Principal Investigator has been informed otherwise, all Grant Proposals which have **not** been selected for funding are administratively inactivated as of December 31st