



LUNGeVity Foundation 2021 Request for Application Health Equity and Inclusiveness Junior Investigator Research Award Program

IMPORTANT NOTES TO READ BEFORE PROCEEDING:

An applicant may submit only one 2021 application for a LUNGeVity award.

LUNGeVity Foundation advises applicants to read the entire RFA, including all eligibility requirements and other terms and conditions, before starting an application.

The LUNGeVity Foundation (“LUNGeVity”) 2021 Health Equity and Inclusiveness Junior Investigator Research Award is for physician-scientists (MD, MD/PhD, DO, or DO/PhD) interested in conducting clinical research and bridging health disparities by engaging underserved communities/underrepresented minorities. For purposes of this award, underrepresented minorities are racial and ethnic minority groups (African American, Hispanic, Asian American and Native American/Alaskan Native) and medically underserved populations, including aged populations (65+), rural populations, individuals with disabilities, low income socioeconomic status (SES) groups, uninsured and underinsured communities, LBGTQIA individuals, veterans, and immigrant communities.

The start date of the 2021 Health Equity and Inclusiveness Junior Investigator Research Award’s grant term will be November 1, 2021.

At the time of submission of the letter of intent (LOI) and throughout the duration of the award term, an applicant/awardee must be continuously employed by a United States (U.S.) institution.

An applicant who is deemed ineligible for this award and/or does not follow the instructions for preparing the application will be disqualified, and the application will not be considered for further review.

LUNGeVity will grant up to two Health Equity and Inclusiveness Junior Investigator Research Award per institution. More than one applicant from an institution may apply.

The Health Equity and Inclusiveness Junior Investigator Research Award uses a **two-step application process**. An applicant must first submit an LOI that includes a letter of nomination from the applicant’s institution. The letter of nomination should ideally be from the applicant’s department chair. Because there are a limited number of awards, only a subset of applicants will be invited to submit a full application after all LOIs are reviewed.

Detailed instructions for submitting the Health Equity and Inclusiveness Junior Investigator Research Award application, including critical dates, begin on page 9.

LUNGeVity manages its grant process within proposalCENTRAL.

LUNGEVITY FOUNDATION

LUNGeVity Foundation is a 501(c)(3) philanthropy specifically focused on funding research for the early detection and effective treatment of lung cancer. LUNGeVity’s mission is to improve mortality rates of lung cancer patients through the development of protocols and tools for early detection of lung cancer, early intervention in the disease progression, and treatments, including targeted therapy and immunotherapy. LUNGeVity focuses on translational science.



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HEALTH EQUITY AND INCLUSIVENESS JUNIOR INVESTIGATOR RESEARCH AWARDS FUNDING OPPORTUNITY DESCRIPTION

Overview

LUNGEvity's Health Equity and Inclusiveness Junior Investigator Research Awards created with one goal: to support future research leaders who are interested in **conducting clinical research with the goal of bridging health disparities in underrepresented communities and medically underserved populations**. Research projects are restricted to clinical lung cancer research, and the applicant must demonstrate the clinical relevance of the research proposed. The Health Equity and Inclusiveness Junior Investigator Research Awards are mentored awards; a mentoring plan is part of the required submission. The awards may be for a maximum of \$100,000 (direct and indirect) per year for two years, for a maximum award of \$200,000.

Clinical Research Project Requirements

The research projects that will be funded are expected to provide a clear conceptual or experimental foundation for the future development of methods for early detection and/or individualized treatment, including through targeted therapy and immunotherapy. The project must include a plan to engage underrepresented communities and medically underserved populations.

High-risk, high-return proposals will receive equal consideration. Clinical research includes epidemiology studies, and we especially encourage clinical correlative studies.

The use of existing resources is encouraged, including libraries of compounds or probes, tissue or biospecimen repositories, and other existing sets of tissue, blood, or images. It is strongly encouraged that those applying have direct and immediate access to the biospecimens necessary to complete their research.

Successful applicants are required during the duration of their award to attend the annual LUNGEvity Science Meeting (whether virtual or in-person), where they must present their research progress to the LUNGEvity Scientific Advisory Board, LUNGEvity staff, other reviewers, other awardees, and invited guests.

Award eligibility

If an applicant does not currently meet an eligibility requirement, but either will meet it soon or has special circumstances that prevent it from being met, the applicant must let us know at the time the LOI is submitted. A page with the information should be attached to the back of the applicant's biosketch.

The award is open to physician-scientists from underrepresented populations in the U.S. Biomedical, Clinical, Behavioral and Social Sciences Research Enterprise, as defined by the National Institutes of Health (<https://diversity.nih.gov/about-us/population-underrepresented>). Applicants with a track record of clinical research to address health disparities in lung cancer are also invited to apply.

- **Education and Experience:** At the beginning of the grant term, an applicant (who must be the principal investigator for the proposed research) must hold a doctoral degree (MD/DO, MD-PhD, or DO-PhD) and be within the first five (5) years of his/her first faculty appointment with any academic institution, including research institutions that are not formally associated with a university, and have completed a training fellowship. An applicant may be at any level of research experience. Because the award term for the 2021 Health Equity and Inclusiveness Junior



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Investigator Research Award begins on November 1, 2021, an applicant's first faculty appointment must have begun no earlier than the start of the 2016 fall semester. The exact start date should be included in the biosketch.

An applicant must be an independent, self-directed researcher for whom his/her institution must provide space and other resources customary for independent investigators. The application must convey the commitment of the institution to the applicant and the proposed research activities.

If it is not clear from an applicant's title or from the employment information in the biosketch that a position is considered to be faculty, a note of explanation/confirmation should be included in the personal statement.

If an applicant is not currently a faculty member but will be by the November 1, 2021, start date of the grant term, a letter from the institution where the applicant will be a faculty member confirming the institution's commitment to the applicant and including the applicant's official start date should be attached to the LOI (and full application, if the application is moving forward.)

- **Support:** At the beginning of the grant term, an applicant may NOT have a major award, such as an RO1, DOD, or Merit review, or a Career Development Award, such as a K07, K08, K22, or K23. An applicant is not eligible for this award if the applicant has any award(s) valued at \$100,000 or more annually. Applicants who are in the **final** year of their Career Development Award are eligible to apply.
- **Citizenship:** At the time of submission of the LOI, an applicant must be a United States citizen or a foreign national holding 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). A non-citizen must submit a notarized copy of proof of possession of a Green Card or J-1, H-1, H-1B, TC, TN or O-1 visas.
- **Employer:** At the time of submission of the LOI and throughout the duration of the award term, an applicant/awardee must be employed by a U.S. institution.

Award information

- **Award Structure and Allocation:** LUNGEvity Health Equity and Inclusiveness Junior Investigator Research Awards may be for a maximum of \$100,000 (direct and indirect) per year for two (2) years. No more than 60% of the requested budget may be used for an awardee's salary and/or fringe benefits. No more than 30% of the total award budget may go to fund the purchase of permanent equipment, and no more than 15% of the total award budget may be used for overhead/indirect costs.

Award funds may be used for the salary and fringe benefit costs of the applicant and other personnel.

- **Duration:** LUNGEvity Health Equity and Inclusiveness Junior Investigator Research Awards are subject to annual review and may be granted for up to two years. The second year of support is based on demonstrating satisfactory progress.



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Factors considered in evaluating applications

Some of the factors considered when reviewing applications include:

- Candidate potential to further progress in lung cancer research
- Mentoring and career plans
- Scientific merit, innovation, and feasibility of the research plan
- Research environment support
- Appropriateness of the requested budget and timeline to complete the proposed research project

OTHER TERMS AND CONDITIONS

Following are other terms and conditions that apply to the LUNGEvity Health Equity and Inclusiveness Junior Investigator Research Awards. A more detailed set of terms and conditions will be included in the agreement document for funded projects.

Animal Use

LUNGEvity allows animal use in biomedical research only when no other means of obtaining scientifically sound, valid, and useful results are available. Applicants must ensure that only the minimum number of appropriate animals required to obtain and validate results shall be used. In cases requiring the death of an animal, only the most appropriate and humane form of euthanasia shall be used consistent with the purpose of the research.

Whenever animal use is a part of a LUNGEvity-funded research project, applicants must provide LUNGEvity with institutional endorsements that the research facility, its research, and its employees adhere to the:

- Animal Welfare Act
- USDA rules
- National Research Council *Guide for the Care and Use of Laboratory Animals*
- Public Health Service Policy on Humane Care and Use of Laboratory Animals

In addition, those applicants who are invited to submit a full application must include in their materials the following documents:

- Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation
- Institutional Animal Care and Use of Committee (IACUC) approval

A project is **not** eligible for an award if the research proposal involves animals and the institution does not have accreditation from the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC), **or** does not hold a current Public Health Service (PHS) Animal Welfare Assurance, **or** does not have accreditation from the United States Department of Agriculture, **or** does not have accreditation from the Institutional Animal Care and Use Committee (IACUC).

Authorized Award Holders

LUNGEvity grants research awards only to individuals; awards are not made to institutions. No award may be held by or transferred to another individual.

Award Payment Schedule

LUNGEvity will issue the first-year award payment no earlier than November 2021, following receipt of the fully executed agreement documents. LUNGEvity will issue the second -year



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payment following award renewal. Second-year payments will be made only after the awardee's funding balance has decreased to \$25,000 or less.

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 paper copy of the appropriate institutional committee approval at the time a full application is submitted.

Carryover of Funding

Carryover of funding into the next year requires prior approval by LUNGEvity. All requests must be in writing and received by LUNGEvity 60 days prior to the end of that funding year. When making the request, the awardee must indicate the amount and from what budget-line and to what budget-line the carryover monies are being applied. In the case of supplies or equipment, all items must be itemized.

Change in Budget

Requests for a change in budget that is 10% or more for a budget line requires prior approval by LUNGEvity. All requests must be in writing and received by LUNGEvity at least 60 days prior to the end of the current funding year. When requesting a change in budget, the awardee must indicate the amount and from what budget-line and to what budget-line the monies are being transferred. In the case of supplies or equipment, all items must be itemized.

Change of Institution

Transfer of a LUNGEvity award from one institution to another because of the relocation of the awardee requires prior approval by LUNGEvity. All requests must be in writing and made as soon as the awardee officially knows of the relocation. A grant may not be transferred to a laboratory, clinic, hospital, or other research institution that is not affiliated with a tax-exempt not-for-profit institution. All unexpended funds must be returned to LUNGEvity within 45 days of transfer approval. A grant agreement must then be executed by the new institution. After LUNGEvity receives the unexpended funds from the original institution and the grant agreement has been executed with the new institution, the funds will be reissued to the new institution.

Equal Employment Opportunity

LUNGEvity awards will be made to individuals working in institutions identified as Equal Opportunity Employers.

Equipment and Supply Purchases

Upon conclusion of the award, equipment and supplies purchased with award funds become the property of the institution at which the work was done.

Equipment Expenditures

No more than 30% of the total award budget over the award term may go 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 Repair & Service Contracts

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



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Financial Reports

An interim financial report is required at the same time as the interim progress report. In addition, at the conclusion of the award period, LUNGEvity requires a complete financial disbursement report covering the entire award period. The financial report must reflect the award expenditures as approved by LUNGEvity. All unused funds must be returned to LUNGEvity. In addition, any funds used for unauthorized expenditures or unexpended funds must be returned to LUNGEvity.

Human Subjects

Whenever human subjects are a part of a LUNGEvity-funded research project, the following documents must be received before any award monies are released:

- A copy of the Institutional Review Board (IRB) approval and approved patient consent forms. LUNGEvity encourages applicants to submit their projects to the appropriate human subjects Institutional Review Board at the time of application.
- A copy of the appropriate institutional committee approval for research involving human adult stem cells or use of human fetal tissue.

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.

IRB approval and approved patient consent forms must be provided to LUNGEvity before award funds will be disbursed.

Malpractice Liability

LUNGEvity will not assume responsibility for and the institution will indemnify and hold LUNGEvity harmless from any lawsuit, claim, judgment, damages, awards, or malpractice arising from research or investigations related to an award.

No-cost Extension

A no-cost award extension requires prior approval by LUNGEvity. All requests must be in writing and received by LUNGEvity at least 90 days prior to the award's official termination date. When making the request, the awardee must provide a detailed rationale for the extension, project expenses to date, and a detailed revised budget. Awardees may request a no-cost extension only once per award. Approval of the no-cost extension is not automatic and will only be granted in exceptional circumstances.

Other Funding

LUNGEvity research funds will not be awarded to duplicate any work that is being supported by other funding agencies.

Overhead/Indirect Costs

Overhead or indirect costs are permitted up to 15% of the award but are not incremental to the award. Duplication of indirect costs on subcontracts is not allowed.

Patent and Intellectual Property Policy

Inventions and discoveries from research performed during the term of a LUNGEvity award will be subject to the current LUNGEvity patent policy as well as to the patent policies of the institution where the work is performed. The LUNGEvity policy is described in full on page 8.



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Presentation Posters

Posters prepared for the LUNGEvity science meeting are the responsibility of the awardee to print out. The cost of printing comes from the funds awarded.

Progress Reports and Renewal of Funding

An interim written progress report (as well as presentations at the annual LUNGEvity Science Meeting) is required along with the interim financial report. The interim progress report is the basis for the decision to award the second year of funding. A final progress report is also required at the conclusion of the project.

Project Support Expenditures

No award shall be used for the purchase of furniture or computers, repair or service contracts, institutional equipment, the construction or renovation of facilities, payment of honoraria or membership dues, tuition for either the awardee or other project personnel, the purchase of textbooks or periodicals, or payment for secretarial support.

Public Access Policy

LUNGEVITY established a public access policy in 2012 that requires all journal articles resulting from all or partial LUNGEVITY funding to be made freely available in PubMed Central (PMC) within 12 months of publication. It is the responsibility of the awardee to ensure that journal articles are deposited into PMC. LUNGEVITY has adopted the procedures established by the Health Research Alliance (HRA) which has partnered with the National Library of Medicine (NLM) to enable HRA member-funded awardees to deposit their publications into PMC with an embargo no longer than 12 months. LUNGEVITY will provide a user guide.

Publication Expenditures

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

Publications

All publications and/or presentations at scientific conferences and meetings based on research conducted from this award must include a citation of LUNGEvity as a supporting entity as follows: "This study was supported by a grant from LUNGEvity Foundation." Reprints of abstracts, manuscripts, or other articles that reflect research done after award acceptance must be submitted to LUNGEvity.

Tobacco-Funded Research

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

Travel Expenditures

The maximum funds expendable for awardee travel are \$1,000 per year. Travel to LUNGEvity meetings is paid directly by the Foundation and is not included in the allowable \$1,000.



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LUNGEVITY PATENT AND INTELLECTUAL PROPERTY POLICY

- a. All inventions or intellectual property made with support in whole or in part by research or training grants or awards from LUNGEVITY must be reported at the earliest practical time to the Research and Program Services Division. The grantee institution or individual awardee agrees to notify LUNGEVITY immediately of the decision to apply for letters patent or other legal protection for intellectual property, and to consider seriously and in good faith any comments or objections LUNGEVITY may have concerning such applications. LUNGEVITY 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 unless the intellectual property is ceded to LUNGEVITY (see paragraphs b and c).
- 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-e 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 LUNGEVITY shall have the right to determine the disposition of invention or intellectual property rights and paragraphs c-d shall not apply.
- c. 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 LUNGEVITY the opportunity to take title to the invention or other intellectual property.
- d. 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 LUNGEVITY 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.
- e. LUNGEVITY reserves the right to public acknowledgment for inventions or intellectual property resulting from support by LUNGEVITY; however, LUNGEVITY name and logo may not be used in association with an invention or intellectual property without prior approval of LUNGEVITY.



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**LUNG CANCER HEALTH EQUITY AND INCLUSIVENESS JUNIOR INVESTIGATOR
RESEARCH AWARD
APPLICATION INSTRUCTIONS AND TIMELINE**

Templates and detailed instructions for required information/materials can be found at <https://proposalcentral.com>. Be sure to read those instructions in case any instructions were changed, added, or deleted after this RFA was issued.

Letter of Intent (LOI)

The letter of intent must include:

- A narrative with these components:
 - **Rationale** for the project
 - Planned **specific aims** (may be modified slightly in the full application)
 - Brief statement of the **overall proposed clinical approach**
 - Brief statement of **career and mentoring plan**
 - A few pertinent **references**

The narrative should be typed in Arial 11-point type, single-spaced, with .5" margins. Identifying information, per the template, must be included at the top of each page. The narrative should not exceed a total of **three pages**, including the references. **Your LOI will not be considered if these instructions are not followed.**

- An NIH **biosketch** (OMB No. 0925-0001 and 0925-0002) of the applicant only. Note that in the section on research support, you must include the dollar value of all awards. Double-check that the information included is current and thorough. **We will not be contacting you to clarify any information.**

- If a non-citizen, **proof of visa immigration status**, as described on page 2 under "Award Eligibility." Attach this to the end of the biosketch.

- **Letter of nomination from applicant's institution.** The nomination should be made by the applicant's Department Chair.

No budget information or other supporting materials should be included.

Templates and detailed instructions can be found at <https://proposalcentral.com>.

Applicants are required to electronically submit the LOI by **Wednesday, February 24, 2021 (11:59pm EST)**, via proposalCENTRAL. Extensions will not be given. Once an LOI has been submitted electronically via proposalCENTRAL, it cannot be changed. proposalCENTRAL will be open to submit letters of intent beginning on Wednesday, January 27, 2021.

A sponsoring-institution signature is not required.

Applicants will be notified by email no earlier than **Thursday, April 1, 2021**, whether they may proceed with the full application.

FEEDBACK WILL NOT BE PROVIDED FOR THE LOIS. LUNGevity will provide results of the peer review process upon request for full applications only.



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Full Application

Only invited applicants may prepare and submit a full application. Instructions for how to proceed will accompany the invitation.

Among other materials, the full application must include:

- A narrative to include these eight components:
 - **Lay Abstract** that explains your project completely in lay terms that will be clear to individuals who do not have a scientific background.
 - **Scientific Abstract** version that would be appropriate for a reviewer of a peer-review journal.
 - **Background:** Present the ideas and reasoning behind the proposed research, to include relevant literature citations. Describe previous experience most pertinent to this application.
 - **Hypothesis or Objective:** State the hypothesis to be tested or the objective to be reached.
 - **Specific Aims:** Concisely explain the project's specific aims.
 - **Research Strategy:** Describe the experimental design, methods, and analyses, including appropriate controls, in sufficient detail for analysis. Address potential problem areas and present alternative methods and approaches.
 - **Career and Mentoring Plan:** Describe your career and mentoring plan in detail.
 - **A few pertinent references.**

The narrative should be typed in Arial 11-point type, single-spaced, with .5" margins. Clarity and brevity are highly desirable qualities in an application. The narrative should not exceed a total of **10 pages**, including the references.

- NIH **biosketches** (OMB No. 0925-0001 and 0925-0002) of the applicant and key personnel, including mentors. ***Mentors should include a list of previous mentees and the mentees' current institutions.***
- **Budget information** by year, along with a justification
- If relevant, the **following documents**:
 - a copy of the documents listed on page 4 in the "Animal Use" section
 - a copy of the biohazard document named on page 5 in the "Biohazards" section
- Do **not** include reprints of your previous publications.
- Include **letters of reference** from the mentors as well as from the chair of the department of the applicant's institution.

Applicants are required to electronically submit the full application by **Monday, May 10, 2021 (11:59pm EST)**, via proposalCENTRAL: <https://proposalcentral.com>. Extensions will not be given. Once a full application has been submitted electronically, it cannot be changed.

Applicants will be notified by email in **late summer 2021** whether they will receive an award.

LUNGEvity will provide results of the peer review process upon request for full applications at that time.



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Awardees will receive a formal agreement document at the time of or soon after award notification. This must be signed by both the awardee and an authorized representative of the sponsoring institution and then returned before any funds will be released. Funds will be released no earlier than the **November 1, 2021, start date of the grant term.**

APPLICATION ASSISTANCE

For answers to questions regarding programs, eligibility, policies, terms and conditions, or instructions for the letter of intent or full application, please contact:

Margery Jacobson
Senior Research and Education Services Manager
mjacobson@LUNGEvity.org
312-407-6109

For help with the proposalCENTRAL electronic application process, please contact:
Help Desk at proposalCENTRAL
pcsupport@altum.com
1-800-875-2562