

**American Lung Association**  
**Lung Health Dissertation Grant (LH) Program Description**  
**Terms and Conditions**

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The objective of the Lung Health Research Dissertation Grant is to support doctoral research training for dissertation research on issues relevant to lung disease. These awards are intended for students with an academic career focus on various disciplines of the social sciences and/or nurses in any field. Areas of particular interest to the American Lung Association are:

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

**IMPORTANT NOTE: AN APPLICANT MAY SUBMIT ONLY ONE APPLICATION FOR THIS REVIEW CYCLE. BEFORE STARTING AN APPLICATION, READ THROUGH THE PROGRAM DESCRIPTION FOR THE AWARD. BE CERTAIN IT IS THE AWARD YOU WISH TO SUBMIT TO THE AMERICAN LUNG ASSOCIATION. ONCE AN APPLICATION HAS BEEN SUBMITTED, THE APPLICATION SELECTION CANNOT BE CHANGED FROM ONE AWARD TYPE TO ANOTHER.**

### **Eligibility**

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

At the time of application, the applicant must be a matriculating student in good standing in a full-time academic program leading to a doctoral degree in one of the above-mentioned fields. Individuals with an MD degree who wish to acquire a PhD are not eligible. Individuals conducting laboratory research not involving patients or patient data are not eligible. However, nurses pursuing a doctoral degree in any field are eligible.

#### ***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, 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 have (**O-1**). Non-citizens must submit proof of possession of a **J-1, H-1, H-1B, TC, TN or O-1** visa or have permanent resident status. At the time of application and throughout the award, an applicant/awardee must be employed by a U.S. institution.

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**Sponsorship**

The sponsor should be a recognized authority in the applicant's field of study and possess the necessary training resources.

**Award Information**

***Duration***

Lung Health Dissertation Grants 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 as well as the availability of American Lung Association funding. The award will terminate at the time the awardee is granted a doctoral degree.

***Award Structure***

Awards may be for up to \$21,000 per year.

**Factors Considered In Evaluating Applications**

Factors considered when reviewing applications include:

1. Scientific merit, innovation, and feasibility of the research plan and its relevance to the mission of the American Lung Association.
2. The applicant's education and experience.
3. The research environment.

**Specific Terms and Conditions for the Lung Health Dissertation Grant**

(See General Terms and Conditions at the end of this section.)

***Equipment and Supply Purchases***

Equipment and supplies purchased with award funds, remain at the conclusion of the awardee's project, 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.

***Project Support Expenditures***

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

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***Travel Expenditures***

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

***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.

***Equipment Expenditures***

No more than 30% of the total award budget may go to fund the purchase of permanent equipment.

***Overall Award Allocation***

Up to \$16,000 of the award may be used for a student stipend and up to \$5,000 for the research project.

***Other Funding***

No other American Lung Association award may be held concurrently with the American Lung Association Lung Health Research Dissertation Grant.

**APPLICATION DEADLINE IS SEPTEMBER 1, 2004 FOR BOTH ELECTRONIC AND PAPER COPIES OF APPLICATION.**

**APPLICATION PROCEDURES**

**Online Submission of Applications Required**

- The American Lung Association requires all applications to be submitted electronically through **proposalCENTRAL**. The proposalCENTRAL web site is located at <http://v2.ramscompany.com>.
- Applications not submitted electronically will be returned and not peer-reviewed.

**Paper Submission of Signed Original and Copies**

In addition to online submission of the application, applicants are also required to submit a signed original, plus 4 copies of all application materials on the deadline date of **September 1, 2004**.

- All hardcopies of the research application materials must be received on the deadline date by the close of business day or 5 pm eastern time.

**Assembling Printed Application Materials**

Before making copies of your application, be sure to assemble all forms and pages in the following order:

Signature Pages (includes all the pages that printed when you select "Print the Signature Pages within the online application)

- Key Personnel

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- Biographical Sketch (for the PI and each of the key personnel)
  - Resources
  - Budget and Justification
  - Other Support
  - Research Plan
  - Resubmission Statement
  - Significance to the American Lung Association Mission
  - Department Head Letter (if required for this program)
  - Sponsor Statement (if required for this program)
  - 3-Letters of Recommendation
- Applicants should take note that reviewers will be provided with one of the four hardcopies submitted to the national office. Hardcopy applications will be used by reviewers in preparing written critiques. Be sure to print out and send the final version of your application and not a working copy.
- Mail the completed and signed original application, (be certain all forms, letters, etc., are correctly and sequentially assembled) and 4 clear, single-sided photocopies in one package to:

Research and Scientific Affairs  
American Lung Association  
61 Broadway, 6th Floor  
New York, NY 10006

**Assistance with Applications**

American Lung Association national office staff members are available to assist with questions regarding eligibility issues or application instructions. However, the American Lung Association **strongly recommends** that applicants first read through the descriptive program and application materials before contacting staff. For questions regarding programs, eligibility, policies, and terms and conditions, please contact the American Lung Association Research staff:

Evita Mendoza

E-mail: [emendoza@lungusa.org](mailto:emendoza@lungusa.org) Phone: 212-315-8793

Ray Vento

E-mail: [rvento@lungusa.org](mailto:rvento@lungusa.org) Phone: 212-315-8788.

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For help with the electronic application process, please contact the help desk for proposalCENTRAL:

E-mail: [support@ecgrant.com](mailto:support@ecgrant.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. These results will consist of a letter with final outcome and reviewer critiques. Results of the peer review process will be mailed out in June. Telephone or e-mail requests for results are not provided.

**GENERAL TERMS AND CONDITIONS**

Following are the General Terms and Conditions that apply to all American Lung Association research awards:

**Publications**

Publications based on any study or research done during the period of an American Lung Association awards should acknowledge the support of the American Lung Association. A reprint should also be sent to the American Lung Association, Scientific Programs Administration Division.

**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.

**Change of Status**

Transfer of an American Lung Association award from one institution to another requires prior approval by the American Lung Association. All requests must be in writing and directed to the Assistant Vice President, Scientific Programs Administration.

**Change of Budget**

Request for changes in budget requires prior approval by the American Lung Association. All requests must be in writing and directed to the Assistant Vice President, Scientific Programs Administration. 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.

**Carry Over or Extensions**

Requests for carry over or award extension requires prior approval by the American Lung Association. All requests must be in writing and directed to the Assistant Vice President, Scientific Programs Administration. 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 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

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items must be itemized. All unexpended funds must be returned to the American Lung Association within 45 days before they can be reissued to the new institution.

**Award Payments**

The American Lung Association issues award payments twice a year, the first payment in July and the second in January.

**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. The Renewal Application form is mailed out to awardees in the early fall.

**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.

**Malpractice Liability**

The American Lung Association will not assume responsibility for and the 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.

**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.

**Animal Use**

Whenever animal use is a part of an American Lung Association research funded project, the following documents must be received before the award commences:

A copy of the Public Health Services "assurance" statement that certifies a facility for adhering to PHS guidelines

A copy of the USDA Inspection Report that documents a facility is in compliance with the USDA rules

A copy of the AAALAC Accreditation that documents a facility is in compliance with the AAALAC guidelines if the facility goes through this accreditation

A copy of IACUC report that assures a facility has been inspected and approved by the local animal use review committee

**Equal Employment Opportunity**

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American Lung Association awards will be awarded to individuals working in institutions identified as Equal Opportunity Employers.

**Overhead/Indirect Costs**

The American Lung Association does not permit overhead or indirect costs charged to its awards.

**Equipment and Supply Purchases**

Award funds used to purchase equipment and supplies remaining at the conclusion of the awardee's project become the property of the institution in which the work was done. Any departure from this Term requires prior written approval from the American Lung Association.

**Authorized Award Holders**

The American Lung Association grants research awards only to individuals and not institutions. No award may be held or transferred to another individual.

**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.

**Other National American Lung Association Awards**

An American Lung Association awardee may hold only one national American Lung Association award.

**Equipment Repair & Service Contracts**

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

**Project Support Expenditures**

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

**Travel Expenditures**

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

**Publication Expenditures**

The maximum amount of funds expendable for publication cost is \$1000 per year. All publication costs must directly relate to the American Lung Association project.

**Equipment Expenditures**

No more than 30% of the total award budget may go to fund the purchase of permanent equipment.

**AMERICAN LUNG ASSOCIATION PATENTS AND INTELLECTUAL PROPERTY**

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

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time to the Scientific Program Administration Division. The grantee institution or individual awardee agrees to notify the American Lung Association 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 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.

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.

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.

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.

No patent, patent application, or other type of protection shall be abandoned without first notifying the Scientific Program Administration 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.

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.

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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.

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.