



## CIHR 2014 Foundation Scheme “live pilot”

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## Background and Context

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## Background and Context

Funding agencies around the world are being challenged to keep pace with a rapidly advancing research frontier and struggle to reduce the burden on applicants and reviewers.

The **objectives** of the reform to **CIHR’s investigator-initiated programs and peer review processes** are to:

- Capture excellence across all four research pillars, from knowledge creation to knowledge translation
- Capture innovative, original and breakthrough research
- Integrate new talent to sustain Canada’s pipeline of health researchers
- Improve sustainability of the long-term research enterprise

In meeting these objectives, the reform is also meant to address a number of **current operational challenges**:

- Workload and costs for applicants
- Peer review burden
- Lack of consistency and efficiency of peer review process
- Growing discrepancy between research evolution and committee structure
- Program complexity

3 A more detailed overview of why these changes are being proposed can be found on the CIHR Reforms website



## Background and Context

- A design document was developed to outline a set of proposed changes to the Open Suite of Programs and peer review processes to address these challenges.
- Feedback from the research community on the proposed changes was collected from February 8, 2012 to May 1, 2012:

Feedback Collected from CIHR’s Research Community  
(From February 8 to May 1, 2012)

 Face-to-Face Discussions	 Web-based Discussion Forum	 Design Discussion Document Feedback Form	 One-way Correspondence
<ul style="list-style-type: none"> <li>• 82 discussions with research institutions, associations and partners</li> </ul>	<ul style="list-style-type: none"> <li>• 186 subscribers</li> <li>• 22 comments posted</li> </ul>	<ul style="list-style-type: none"> <li>• The feedback form was sent to 1,691 targeted researchers</li> <li>• 513 completed feedback forms were submitted</li> </ul>	<ul style="list-style-type: none"> <li>• 206 e-mails and letters received</li> </ul>

- Work was completed to assess all of the feedback and enhance the overall design.
- The revised design was released in December of 2012




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### New Design

Key elements of the design have been endorsed by CIHR's Governing Council and Science Council:

1. Two separate, complementary funding schemes will replace the current Open Suite of Programs:
  - Project Scheme
  - Foundation Scheme
2. A peer review process that will include:
  - Application-focused review
  - Multi-stage review
  - Structured review criteria
  - Remote review of applications at the initial stage(s)
3. A College of Reviewers that will support excellent peer review across the spectrum of health research

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Background and Context

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### Design Elements

Multi-stage competition process	<ul style="list-style-type: none"> <li>• Effective screening of applications</li> <li>• Decrease applicant burden and reviewer burden</li> <li>• Focus reviewer attention on specific criteria for each stage of review</li> </ul>
Application-Focused Review	<ul style="list-style-type: none"> <li>• Avoid "force fitting" applications into standing committee structure</li> <li>• Assign appropriate expertise to <u>each</u> application</li> </ul>
Structured Review Criteria	<ul style="list-style-type: none"> <li>• Minimize inconsistent/inappropriate application of review criteria</li> <li>• Improve transparency of review process</li> <li>• Decrease peer review burden</li> </ul>
Remote (virtual) Screening/Review	<ul style="list-style-type: none"> <li>• Facilitate access to expertise, including international</li> <li>• Improve cost-effectiveness of the process</li> <li>• Minimize group dynamics and committee culture biases</li> </ul>

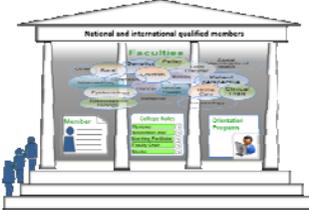
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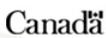



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### College of Reviewers

- To deliver on the vision and objectives, CIHR will work with funding partners and peer reviewers to build a College of Reviewers
- It will be a centrally-managed, national resource.
- The College will be made up of faculties of experts from both within and outside Canada.
- Specific roles will be defined to support the peer review processes (e.g. moderators and chairs) and to support the peer review system as a whole (e.g. faculty chair).
- Specific programs will be developed to train and mentor reviewers, and to monitor performance.
- Recruitment will include transitioning existing reviewers to the College (after discussions with Chairs and SOs), conducting targeted recruitment strategies and implementing a nomination process that can be used by institutions and existing reviewers.





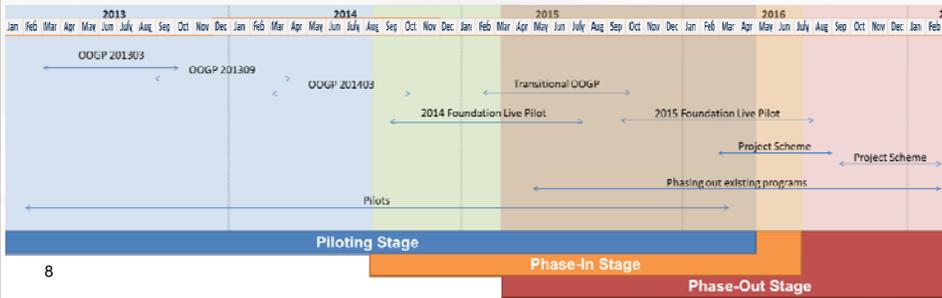
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## Background and Context

### Transition

- The transition to the new Open Suite of Programs and peer review processes will occur over a number of years.
- Course corrections and adjustments may be required along the way as we learn from the results of the pilots.
- The transition strategy includes three phases:
  - 2012 to 2015: Piloting key peer review design elements
  - 2014 to 2016: Gradually phasing-in the new funding schemes
  - 2014 to 2016: Gradually phasing-out the existing Open funding programs



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## Background and Context

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**Pilots**

Piloting key elements of the new design is a critical step in the implementation of the Reforms as it will:

- Allow CIHR to adjust and refine processes and systems in order to best support applicants and reviewers;
- Provide a learning opportunity for applicants, reviewers and CIHR staff; and
- Contribute to the key literature on peer review;

CIHR is using a number of existing competitions to run the pilots so that we can properly train applicants, orient reviewers, and monitor outcomes in a managed fashion.

Program	Status
Fellowships	Second pilot currently underway
Knowledge Synthesis	First pilot currently underway
Partnerships for Health Systems Improvement (PHSI)	Will occur using the 2014 competition
Foundation Scheme	First two competitions will be pilots (2014 and 2015)

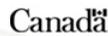
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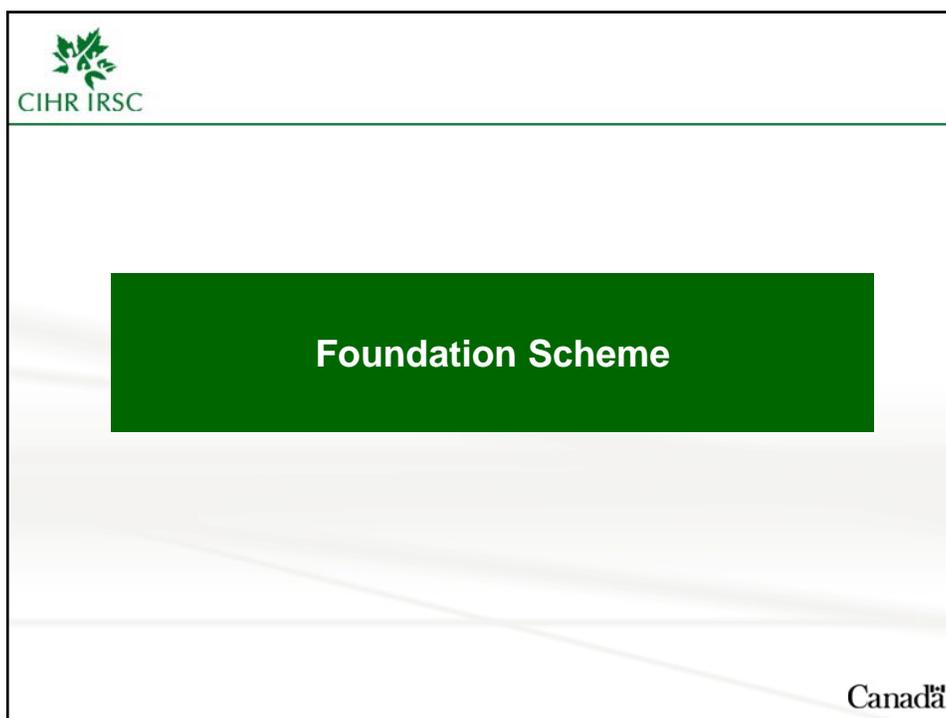


## Considerations Within Pilots

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- Consultation with key stakeholders (internal and external), in both design and testing.
- Comprehensive data analysis of pilots
- Dissemination of research findings to CIHR's community
- Continuous improvements to:
  - Process
  - IT solution
- Monitoring and Evaluation
  - To identify areas that need improvement and to inform the future direction of peer review innovation
- Integrating new tools and design elements to other programs
  - Award programs (Doctoral Research Award, Masters)
  - Strategic initiative funding opportunities





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## The Foundation Scheme

The **Foundation Scheme** is designed to contribute to a sustainable foundation of health research leaders.

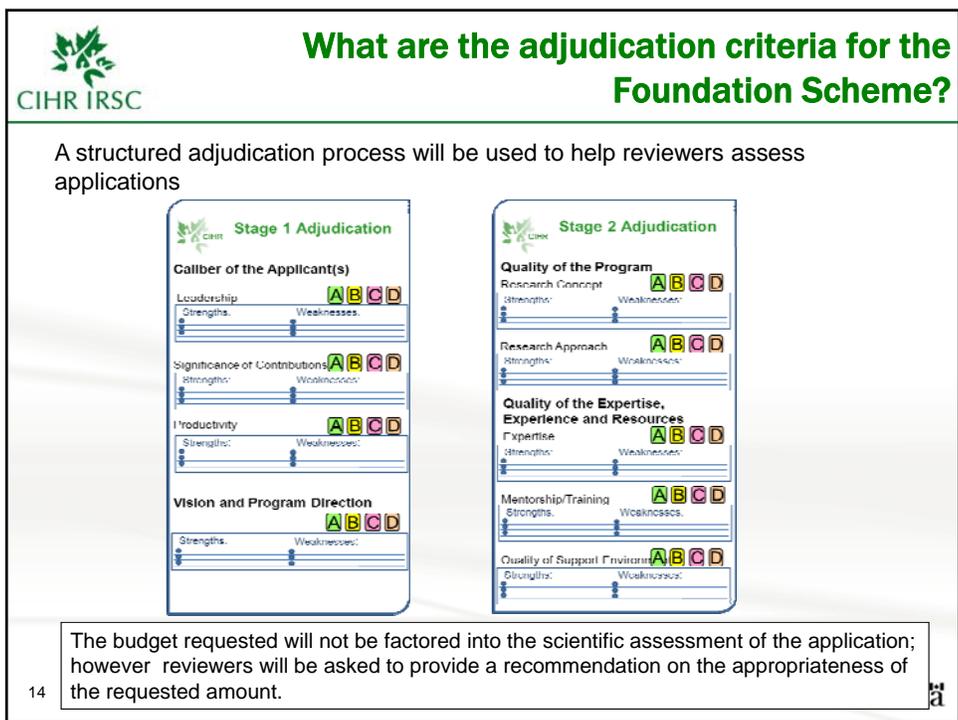
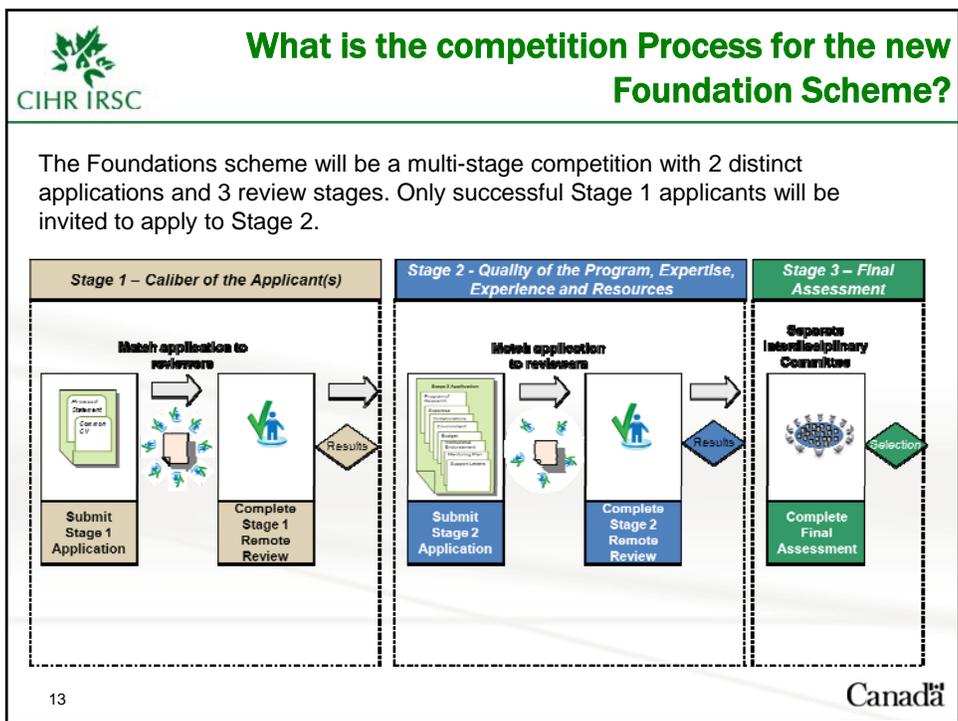
It is expected to:

- Support a broad base of research leaders across career stages, areas and disciplines relevant to health;
- Develop and maintain Canadian capacity;
- Provide flexibility to pursue new, innovative lines of inquiry as part of an overall **program** of research;
- Contribute to the creation and use of health-related knowledge.

The **Foundation Scheme** will have one competition a year.

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## What are the application requirements for the Foundation Scheme?

Applicants will submit a structured application and CV to the Foundation Scheme

**Stage 1**

Program Leader(s)  
CV

**Summary (~1 page)**

**Caliber of the Applicant(s)**

1. Leadership (~ ½ page)
2. Significance of Contributions (~ ½ page)
3. Productivity (~ ½ page)

**Vision and Program Direction (~1 page)**

**Stage 2**

Program Leader(s)  
CV

**Summary (~1 page)**

**Quality of the Program**

1. Research Concept (~ 1 ½ pages)
2. Research Approach (~ 1 ½ pages)

**Quality of the Expertise, Experience, and Resources**

1. Expertise (~ 3 pages)
2. Mentorship and Training (~ 2 pages)
3. Quality of Support Environment (~ 1 page)

**Budget (~ ½ page)**

Application requirements are now available on the web. These will be updated if any substantive changes are required as a result of the ongoing pilots.

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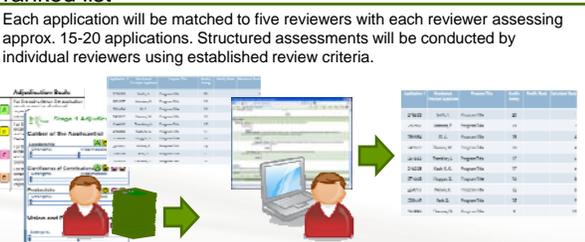
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## How will the ranking process work with 5 reviewers?

Reviewers will assess applications through a multi-stage process and submit a ranked list

Each application will be matched to five reviewers with each reviewer assessing approx. 15-20 applications. Structured assessments will be conducted by individual reviewers using established review criteria.



Preliminary reviews will be shared with other reviewers assigned to a specific application. Reviewers can only see the other reviews once their prelim. reviews are submitted. After discussions reviewers will submit their final ranked list.

CR Number	App #	Reviewer 1		Reviewer 2		Reviewer 3		Reviewer 4		Reviewer 5		Consolid. Rank	Variance
		R-R	%R										
1	751287	418	100	310	83.3	117	100	308	84.7	310	82.0	81.87	5.55
2	754683	317	83.7	118	100	320	84.7	218	85.7	118	100	84.87	8.88
3	274888	117	100	200	88.4	218	82.9	417	81.2	218	82.9	81.28	8.82
4	249577	320	82.4	217	82.7	318	88.2	318	88.2	218	82.9	82.38	8.94
5	249558	120	100	418	82.3	418	80.9	515	88.8	218	82.9	80.38	8.94

R-R = Reviewer Ranking  
%R = Reviewer Percentile Ranking  
CR = Consolidated Ranking

Face-to-face meetings will be held in Stage 3. The discussion will focus on applications with a high variance in reviewer rankings.

**Final Assessment Stage**



**Green Zone**  
Highly Competitive applications selected after Remote Review (Fund)

**Grey Zone**

Competitive applications

Non-competitive applications

Each application will have 5 rankings (one from each reviewer), a consolidated ranking and variance (std. dev.).

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## What is the requirement for Institutional Support?

- Institutional support for the Foundation Scheme will be the same as with all other CIHR grants.
- This includes a formal sign-off from institutions
- Early design considerations had contemplated enhanced institutional support but it was determined that current requirements are sufficient

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## How many Foundation grants will be funded in the first competition?

- Approximately \$500M will be available for the 2014-15 Transitional OOGP and 2014 Foundation Scheme "Live Pilot".
- Modeling assumptions based on historical data estimate 120 to 250 Foundation grants will be supported in the first pilot.
- Once fully implemented, the Foundation Scheme will fund approximately 114 grants a year.
- An investment at this level assumes a robust application pressure therefore, the actual number of grants awarded may vary.

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## What are the competition timelines?

- The 2014 Foundation Scheme “live pilot” funding opportunity was published in November 2013.
- Key dates include:

Registration Date	June 2014
Application Stage 1 Deadline	September 2014
Anticipated Stage 1 Notice of Decision Date	December 2014
Application Stage 2 Deadline	February 2015
Anticipated Stage 2 Notice of Decision Date	May 2015
Anticipated Stage 3 Notice of Decision Date	July 2015
Funding Start Date	October 2015

- Application requirements and Q&A's were developed to help researchers prepare
- Application templates will be available through ResearchNet in June 2014

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## What are the eligibility requirements for the Live Pilot competitions?

The following health researchers are eligible to apply to the first Foundation Scheme “live pilot” competition:

- As of **July 30, 2013**, Nominated Principal Investigators and Co-Principal Investigators of an Open grant with a grant term expiry date no earlier than October 1, 2014 and no later than September 30, 2015. This includes:
  - An OOGP grant with a grant term expiry date of March 31, 2015; or
  - An OOGP grant with a grant term expiry date of September 30, 2015.
- New/early career investigators
- Researchers who have never held Open CIHR funding as a Nominated Principal Investigator or Co-Principal Investigator

Institutions were provided with lists of researchers who have Open grants ending no earlier than October 1, 2014 and no later than September 30, 2016. Please contact your research office or [Roadmap-Plan.Strategique@cihr-irsc.gc.ca](mailto:Roadmap-Plan.Strategique@cihr-irsc.gc.ca) if you have any questions regarding your eligibility.

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 **Is there a separate stream for new investigators?**

- New/early-career investigators are eligible to apply to the Foundation Scheme competition as a Program Leader.
- CIHR defines a new/early career investigator as:
 

*A researcher who, at the Stage 1 application deadline, has assumed his/her first independent academic position (e.g., faculty appointment) within the last 5 years.*
- New investigators will be assessed with other applicants in Stages 1 and 2. Reviewers will be asked to consider career stage when assessing the application against the specified criteria.
- At Stage 3, new/early-career investigators will be assessed and ranked against other new/early career investigators.

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 **Are the terms Nominated Principle Applicant and Co-applicant being used in the Foundation Scheme?**

- The program is designed to contribute to a sustainable foundation of **health research leaders**.
- As part of the new scheme some new terms are being introduced. The applicant(s) is/are the Program Leader(s)
- No differentiation will be made between multiple Program Leaders on a single Foundation grant, all are equally responsible for overseeing the direction of the research program.

<ul style="list-style-type: none"> <li>• Nominated Principal Investigator</li> <li>• Co-Principal Investigator</li> </ul>	➔	Program Leader(s)
<ul style="list-style-type: none"> <li>• Co-Investigator</li> <li>• Collaborator</li> <li>• Partner</li> <li>• Knowledge User</li> </ul>	➔	Expert

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## Why is CIHR launching the Transitional OOGP Competition in parallel to the Foundation Scheme?

- The last OOGP competition (i.e. Transitional OOGP) and the 2014 Foundation Scheme “live pilot” will be run in parallel
- Launching the two funding opportunities at the same time will allow the community to understand how the two programs relate to each other.
- Applicants who are unsuccessful in Stage 1 of the 2014 Foundation Scheme “live pilot” competition will have the opportunity to apply to the Transitional OOGP competition.
- Principal Applicants must not have submitted a Stage 2 application as a Program Leader to the 2014 Foundation Scheme “live pilot” competition.
- The application requirements and processes for the Transitional OOGP will remain the same as the current OOGP.

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Questions regarding the Foundation Scheme Competition can be directed to:  
[Roadmap-Plan.Strategique@cihr-irsc.gc.ca](mailto:Roadmap-Plan.Strategique@cihr-irsc.gc.ca)

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