

**AMERICAN ASSOCIATION OF ORTHODONTISTS  
FOUNDATION  
2010 AWARDS MATERIALS (ANNOUNCEMENTS)  
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**2010 Funding Priorities**

**For the 2010 Awards Program, the Directors approved the following:**

- **Only proposals for the Orthodontic Faculty Development Fellowship Award (OFDFA) will be considered, and this will consist of an aggregate of \$150,000 to fund ten (10) one-year (\$15,000) awards, i.e., three-year funding option is not offered in 2010.**
- **Funding for the existing Collections Project will continue, i.e., no new or additional proposals will be considered.**
- **Proposal Deadline is 12/15/09 – see Page 2010-4.**

# **General Announcement and Application Procedure**

(Revised 8/21/09)

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## **General Announcement**

Financial awards from the AAOF are available on a competitive basis to aid projects and programs whose intentions are to support the professional development of future educators and researchers in orthodontics and to promote the maintenance, dissemination, and development of new knowledge, materials, and techniques intending to improve the ability of the specialty of orthodontics to deliver quality care. The primary focus of Foundation funding remains in support of junior faculty. Beginning with the 2007 Awards Program, the Foundation considers the preservation of at least a representative sample of the various orthodontic collections to be a funding priority second only to the support of junior faculty.

## **AAOF Award Categories**

The AAOF has defined funding priorities as follows, some of which may not be available every year:

1. Fellowship Awards
  - Orthodontic Faculty Development Fellowships (OFDFA)
  - Post-doctoral Fellowships (PDFA)
2. Biomedical Research Awards
  - Applicant Defined (BRA/AD)
  - Call for Proposals (BRA/CFP)
3. Center Awards
  - Applicant Defined
  - Special Call for Proposals
4. Educational Innovation Awards
5. Program Awards
6. Research Aid Awards

## **2010 Funding Priorities**

**For the 2010 Awards Program, the Directors approved the following:**

- **Only proposals for the OFDFA will be considered, and this will consist of an aggregate of \$150,000 to fund ten (10) one-year (\$15,000) awards, i.e., three-year funding option is not offered in 2010.**
- **Funding for the existing Collections Project will continue, i.e., no new or additional proposals will be considered.**

Applicants should understand that the award category descriptions are broadly stated to provide guidance to the applicant while allowing freedom in developing proposals. This collection of awards is also intended to encourage and support the development of orthodontic educators and inspire excellence in orthodontic education.

A detailed description for the OFDFA award category, the only one available in 2010, can be found on the application pages pertinent to each award category.

## **General Award Stipulations for Proposals**

1. The number of awards made in any award category each year will vary, depending on the quality of the applications submitted and the level of support available and allocated to a category. The maximum award for any project by the AAOF in any award category is generally \$15,000 per year, except where noted.
2. No funds to cover “indirect costs” will be provided by the AAOF for any project in any award category; the AAOF provides financial support in the form of awards or gifts (not grants or contracts) which are to be used in the actual conduct of the approved project. If the applicant's institution will not accept this requirement, the application will be considered canceled and the award withdrawn.
3. Except where noted, each successful project in any award category will be supported on a one-time basis. Except where noted, no funds will be allocated for continuation of a funded project regardless of how long it takes to complete the project; applicants may not reapply for funding a project which has already been supported. The general exception to this rule involves the Orthodontic Faculty Development Fellowship Awards (OFDFA) and Post-doctoral Fellowship Awards (PDFFA); OFDFA fellows may reapply for additional support, and beginning in 2006 application may also be made for a three-year OFDFA Fellowship. Post-doctoral fellows may also apply for a third-year. (Note: The three-year option is not available for the OFDFA in 2010.)
4. There is no restriction as to the duration of the project in any award category (i.e., projects may take less than a year, a year, or multiple years to complete), except where noted. For the Biomedical Research Award, a multi-year Center Award (both General and for Planning Grant/Collections), the three-year Orthodontic Faculty

Development Fellowship Award and the Post-doctoral Fellowship Award, a Progress Report is required after six months of support (i.e., received no later than December 15). For the One-Year Fellowship Award, a Progress Report is not required.

5. A Final Report is required at the completion of the project for all award categories. Failure to provide the AAOF with an acceptable Final Report will result in the Principal Investigator(s) not being eligible for funding until a Final Report is submitted to the AAOF and approved by the Foundation's Planning and Awards Review Committee (PARC). A delinquent Final Report may also disqualify the PI's current institution as well.
6. An applicant may not apply for awards in two different categories during any one year at the level of P. I. or Co-P.I. (i.e., as a person who has/shares ultimate responsibility for the conduct of two projects), and only one OFDFA proposal will be accepted per school in any year. In the case of a three-year Orthodontic Faculty Development Fellowship Award and the two-three year Post-doctoral Fellowship Award, the school may not reapply until the funded Fellowship has been completed. *Beginning in 2009, however, PDFA applicants are allowed to submit two applications, i.e., one for the PDFA and another for an award offering less funding (i.e., either OFDFA or BRA), so that, in the event that the PDFA is denied, the applicant would still have the possibility of other funding.*
7. As a condition of accepting an AAOF award, recipients (upon notification of approval for funding and prior to funding being sent) are to provide the AAOF with the following, sent via e-mail to [aaofevp@aaortho.org](mailto:aaofevp@aaortho.org):
  1. a black and white photograph of themselves, and
  2. a synopsis (500 words) of their project/research/use of funds, with this synopsis in Word format, not a PDF to include:
    - a. a short biography
    - b. a brief description of their project
    - c. how orthodontic education will benefit from their award
    - d. why the Foundation is important to their project.

### **General Application Guidelines**

Applicants should follow the directions given for each specific award category. In addition, a number of general comments apply to all applications submitted to the AAOF.

1. Applicants are encouraged to maintain some degree of focus on clinical matters during the preparation of an application; it is strongly encouraged that application titles reflect clinical interests and/or clinical applications if appropriate to the project being submitted.
2. During the preparation of the application, standard page layout for 8 ½ by 11 inch paper must be used with standard margins of no less than 1 inch. Line spacing can be no less than single line spaced, and an easy-to-read font of at least 12 pt.

should be used. Proposals are to be clipped - no binders or covers.

3. Applicants are strongly encouraged to present their proposal, for evaluation and critique, to colleagues who are knowledgeable in the area of proposed project and/or who are experienced in proposal preparation. This should be done before submission to the AAOF; the AAOF does not provide critiques to applicants.
4. Submissions are to consist of a.) two hard copies of the proposals, and b.) an electronic copy via e-mail or CD in the PDF format, sent to:

The American Association of Orthodontists Foundation  
Attention: Foundation Executive Vice President  
401 North Lindbergh  
St. Louis, MO 63141-7816  
[aaofevp@aaortho.org](mailto:aaofevp@aaortho.org)

5. Applications for 2010 AAOF Awards will be received through Tuesday, December 15, 2009. It is the applicant's responsibility to ensure that the application is received before the deadline. Applications received after 5:30 p.m. St. Louis time on December 15<sup>th</sup> will be returned without consideration and without exception. Also returned will be any proposal received from an individual where there has not been submitted the Final Report (due the previous June 30<sup>th</sup>) for a previously funded project and any proposal from that individual's current institution. (See item #5, under the heading of "General Award Stipulations for 2010 Applicants" on page 2010-3)
6. Incomplete applications, or those whose format is not consistent with the prescribed application guidelines, will be returned without evaluation or comment.
7. Letters of support for an application are required in the case of OFDFA and PDFDA, and they should be appended to the application. Letters intended to establish collaborative research arrangements or letters from chairpersons indicating that applicant faculty will have sufficient time to conduct the proposed project (both types of Fellowship Awards and Biomedical Research Awards) or correspondence establishing a collaborative relationship (for Center Awards) should be appended to the application. On the other hand, general letters of support from persons not directly involved in the project proposed are not required, are strongly discouraged, and will not be considered during the review process; such extraneous letters should not be solicited by an applicant and should not be sent to the AAOF.

### **General Application Review**

- A. Review criteria will vary, depending on the type of application and award category.
  1. Orthodontic Faculty Development Fellowship Awards (OFDFA) and Post-

doctoral Fellowship Awards (PDFFA):

- a. Quality of the plan presented for training and development of the applicant including:
    - i. Description of facilities and equipment available that allows for fulfillment of goals outlined
    - ii. Realistic timeline for completion of goals
  - b) Potential of the applicant to become a productive educator (OFDFA) and/or independent investigator (PDFFA)
  - c) Needs of the institution
  - d) Level of institutional support, including
    - i. Resources such as space and equipment that will facilitate the project and professional development
    - ii. A mentor with appropriate credentials, adequate time and stated commitment to nurture the fellow's development
    - iii. Protected time for professional development
2. Biomedical Research Awards
- a.) Significance and originality of the project or approach, which is justified in the introduction and supported with references where appropriate
  - b) Specific aims
  - c) Methods that include validated techniques or procedures for validation
  - d) Adequacy of study design that includes detailed methods, outcome measures and statistics to be used
  - e) Realistic timeline for completion
  - f) Experience and competence of the applicants
  - g) Adequacy of facilities, including equipment
  - h) Value of the project to the clinician or educator
  - i) Evidence of institutional support

**Notification**

- A. After the application deadline is past (December 15, 2009), the applications will be distributed for review and consideration by the AAOF. Applicants will usually be notified of the status of their application in April or May. The funding cycle is from July to June. Funds awarded for a one-year Orthodontic Faculty Development Fellowship Award, the first year's funding for a three-year Orthodontic Faculty Development Fellowship Award, the first-year of a multi-year Post-doctoral Fellowship Award, and the first year of a multiple-year Center Award are paid in one lump sum (i.e., not in half payments) on or before July 1, assuming the Award Agreement (all category of awards) and Promissory Note (for Faculty Development Fellowship Awards and Post-doctoral Fellowship Awards) have been satisfactorily completed and submitted. For Biomedical Research Awards, the initial funding will consist of one-half of the monetary

award; the second one-half of the award will be sent no later than January 31, contingent upon receipt of a satisfactory Progress Report from the applicant prior to that time.

### **General Requirements for Successful Applicants**

1. Careful adherence to the eligibility criteria for a given award, particularly the years of the applicant's academic career
2. Complete but concise proposal, following the criteria for application review listed on the previous page
3. Completion of documents required by the AAOF i.e., Letter of Agreement (all categories of funding) and Promissory Note (both types of Fellowship Award).
4. Project successfully started within 12 months of the initial funding. Applicants who cannot begin their projects within 12 months (beginning July 1 of the year of the award) will lose their award and the funds must be returned to the AAOF.
5. Submission of required Progress Reports, where applicable. Successful applicants are obligated to submit a Progress Report by December 15. Progress Reports should be constructed in the form of a narrative report no longer than two pages in length; additional attachments are discouraged. A recommended form is attached. (Progress Reports are not required for the one-year Orthodontic Faculty Development Fellowship Award, but are required for the three-year option of the OFDFA, the Post-Doctoral Fellowship Award, and both types of Center Awards.)
6. A Final Report is due at the conclusion of the project. Final Reports should be prepared as an abstract using a format similar to the IADR/AADR or that used for the AAO Annual Session Abstracts. These abstracts must be suitable for publication. A Final Report form is attached. As these Final Reports will be placed on the Foundation's web page, they are to be submitted electronically to [aaofevp@aaortho.org](mailto:aaofevp@aaortho.org). Once again, failure to provide the AAOF with an acceptable Final Report will result in the principal investigator(s), and perhaps also the PI's current institution, not being eligible for funding the next funding round until a Final Report is submitted to the AAOF and approved by the Foundation's Planning and Awards Review Committee.
7. As a condition of accepting an AAOF award, recipients (upon notification of approval for funding and prior to funding being sent) will provide the AAOF with the following, sent via e-mail to [aaofevp@aaortho.org](mailto:aaofevp@aaortho.org):
  - a. a black and white photograph of themselves, and
  - b. a synopsis (500 words) of their project/research/use of funds, with this synopsis in Word format, not a PDF file to include:
    - i. a short biography
    - ii. a brief description of their project

- iii. how orthodontic education will benefit from their award
  - iv. why the Foundation is important to their project.
8. In addition, the AAOF reserves the right to submit (or request that the successful applicant submit) information about the study and results of the study to the American Journal of Orthodontics and Dentofacial Orthopedics, the AAO Bulletin, AAOF News, or Constituent Society newsletters for possible publication. Successful applicants may also be invited to present their research at an annual meeting of the American Association of Orthodontists or at Constituent meetings. The AAOF reserves the right to participate in profits, in proportion to the AAOF contribution of financial assistance, that result from an AAOF supported project.

## **Specific Application Guidelines**

### **Category 1. Fellowship Awards**

**Fellowship Awards offered in 2010 are as follows:**

- 1 Orthodontic Faculty Development Fellowship Awards**
  - o **One-Year Funding Option**

### **ORTHODONTIC FACULTY DEVELOPMENT FELLOWSHIP AWARDS**

#### **General Description**

The Orthodontic Faculty Development Fellowship Award is designed to encourage orthodontic students and graduates to pursue careers in orthodontic education and support the development of junior faculty. It is felt that the young clinical investigator and biomedical scientist must be supported to encourage and enable them to develop their teaching, patient care, and research activities to their highest potential; this, in great measure, will enable excellence in orthodontic education and progress for the specialty.

The Orthodontic Faculty Development Fellowship Award provides support to individuals engaged in orthodontic training leading to a Master of Science or Ph.D. degree, an orthodontic graduate involved in postdoctoral research projects, and junior faculty serving as full-time faculty in an orthodontic department. Fellowship Awards are intended only for those committed to a career in orthodontic teaching and/or research.

Funding for the Fellowship Award is available for those within the first five years of their full-time academic careers and is allowed for a maximum of three years; after then, the Biomedical Research Award is the appropriate funding category. For the purposes of determining when full-time academic appointments began, this only includes full-time appointments at U.S. or Canadian institutions.

*Note: The overlap between Biomedical Research Awards (Years 3-10) and Orthodontic Faculty Development Fellowship Awards (Years 1-5) is by design to allow for a certain amount of flexibility.*

#### **Eligibility**

Orthodontic Faculty Development Fellowship Awards are intended for those individuals who are preparing for, or beginning a career in orthodontic education in the U.S. and Canada, i.e., students or junior faculty, respectively. Consequently, Fellowship Awards are available to:

1. U.S. and Canadian citizens
2. Foreign nationals who possess a U.S. “green card” or its Canadian equivalent

3. Those foreign nationals not yet in possession of a U.S. “green card” or its Canadian equivalent, as long as the applicant and the institution will stipulate that obtaining such status is the applicant’s intention and where there is demonstrable evidence of this intent.

*(Note: The actual term is 'resident alien' which carry an I-151 status (passport stamp) or a “resident alien card” (known as green card, which is actually pink in color).*

### **Individuals Preparing for a Career in Orthodontic Education**

Individuals are eligible for a Fellowship Award if they are enrolled in an accredited orthodontic program in the U.S. or Canada, or if they have graduated from an accredited orthodontic program in the U.S. or Canada. Such individuals must be pursuing a Master of Science degree, a Ph.D. Degree (in an area relevant to orthodontics), or a formal postdoctoral program. **However, funding is only available to such individuals if they have a letter of commitment from their institution, as of July 1 of their funding year, stating that there is a full-time faculty position being held for them; otherwise Fellowship Awards are not currently available to residents.**

### **Individuals Starting a Career in Orthodontic Education**

A faculty member employed in an orthodontic department will be eligible for a fellowship award during the first five years of his or her teaching career. Applicants must be orthodontists and considered full-time faculty members by their institution. Normally, such awards will be restricted to those faculty who hold the Assistant Professor academic grade (i.e., “junior” faculty).

Orthodontic Faculty Development Fellowship Awards are not available to support sabbaticals or visiting faculty programs. Institutions may not have more than one faculty member supported by an AAOF Orthodontic Faculty Development Fellowship Award at any one time.

### **Format for the Application**

1. Cover Page (provided by the AAOF specific to this award category - see page 2010-16): This page must be filled out, signed, and returned as the cover page for the application.
2. Completed Submission Checklist (provided by the AAOF - see page 2010-12): Signed to insure that the application is complete and ready for AAOF review.
3. Title Page (not to exceed one page): The title page should provide the following: name of proposed Fellow and names of all advisors and consultants.
4. Description: (not to exceed three pages): A synopsis of the proposed faculty Development Plan should be provided. This portion of the application must include

information relating to any educational program in which the Fellow will be engaged, any research projects that might be planned (or already underway), the plan for development of teaching abilities, and the plan for development with regard to clinical skill and patient care. The applicant must provide a statement of career goals as an educator or researcher. The responsibilities of the Fellow should be clearly described. All principal advisors must be identified and the nature of their responsibilities with regard to supervision and development of the applicant must be disclosed. It is anticipated that the description provided in this section will vary depending on the status of the applicant (e.g., student in training, junior faculty member). Applicants must understand that the mere circumstance of being a faculty member is considered of far less importance than is the plan for further development. Departmental involvement in the applicant's Development Plan is strongly encouraged. Furthermore, evidence of institutional support in implementing the Development Plan (e.g., in the form of a letter of support from the Department Chair and/or Program Director), is required-see #7 below.

5. Budget Justification (not to exceed two pages): A full description of how AAOF funds will be used must be included along with the justification for the expenses. If the proposed Fellow is receiving funds from other funding agencies, the nature, source, and the amount of support must be identified. With regard to Orthodontic Faculty Development Fellowship Awards, AAOF funds can generally be used for any purpose designed to supplement already existing support of the Fellow (i.e., as a stipend supplement, salary supplement, research support supplement, etc.); the anticipated use of AAOF funds must be fully described. If successful, AAOF funds may be provided directly to the Fellow. AAOF funding is not to be used to replace support that would have normally been provided by the sponsoring institution; AAOF funding is only available as a supplement to already existing support.
6. Curriculum Vitae (no page limitation): A complete curriculum vitae should be provided for the proposed Fellow. In addition, a biographical sketch (two page maximum) should be provided regarding every individual who will act as a principal advisor for the Fellow.
7. Specific Appendix Materials (no page limitations): At least three letters of support must also be appended to the application which addresses the candidate's present abilities, future potential, and the candidate's qualifications to satisfy the goals of the Orthodontic Faculty Development Fellowship Award. Whenever possible, letters of support should be secured from a chair of a department of orthodontics, a research advisor, and an additional person familiar with the applicant. If the applicant is a faculty member, the chair of the department must address departmental needs for faculty and the impact that AAOF support would have on the department.
8. General Appendix Materials (no page limitations): Publications and manuscripts (only those accepted for publication) that are written by the applicants may be appended. Do not include the publications of non-applicants or advisors. Applicants should be aware that appendix materials should only be used to support the

application, not replace it; information crucial to the Fellowship, or Development Plan, should be included in the application, not presented in an appendix. The content of the application itself will be assessed; the appendix material may or may not be considered.

### **Requirements for Successful Applicants**

Successful applicants are required to sign various documents before funds are distributed to them and all recipients are obligated to submit a Final Report at the end of the Fellowship period, i.e., July 1, 2011. Recipients under the One-Year funding option are not required to provide a Progress Report.

If the successful applicant's Development Plan includes being hired to teach in an orthodontic program as part of the plan (or remaining in such a program), and the applicant fails to be hired or leaves the institution, the applicant must notify the AAOF in writing immediately, and the Orthodontic Faculty Development Fellowship will be withdrawn.

Orthodontic Faculty Development Fellowship funds supplied by the AAOF will be considered an "Award" if the recipient successfully completes the fellowship program outlined in the application documents (Development Plan) and is subsequently employed continuously for one (1) year (i.e., 12 months) as a full-time orthodontic educator for each one (1) year period (i.e., 12 months) that the recipient was supported by the AAOF ("full-time" will be defined by the employing institution). In this situation, the funds received from the AAOF will be considered an "Award" in that the recipient is absolved of any and all responsibility to repay the funds provided by the AAOF. If the recipient, however, fails to complete the fellowship program outlined in the application documents (Development Plan) or fails to be subsequently and continuously employed for one (1) year as a full-time orthodontic educator for each one (1) year period that the recipient was supported by the AAOF, then the recipient shall be liable for up to the total amount of the funds provided by the AAOF, plus interest (not to exceed the St. Louis prime rate). In this latter instance the funds provided by the AAOF are considered a "Loan."

The determination of tax liability regarding funds provided as a fellowship will be the responsibility of the Fellow. The AAOF will not participate in determination of tax liability and will bear no responsibility for payment of appropriate taxes. The AAOF will follow available law regarding the reporting of funds distributed. Where the provision of funds might be considered a violation of state/province or federal law, the award is canceled and must be returned.

No funds to cover "indirect costs" will be provided by the AAOF for any fellowship or related research project; the AAOF provides financial support in the form of awards or gifts (not grants or contracts) which are to be used in the actual conduct of the approved fellowship or related research project. If the applicant's institution will not accept this requirement, the application will be considered canceled and the award withdrawn.

In addition, the AAOF reserves the right to submit (or request that the successful applicant submit) information about the fellowship program or research results to the American Journal of Orthodontics and Dentofacial Orthopedics, the AAO Bulletin, the AAOF News and/or any Constituent newsletter for possible publication. The AAOF reserves the right to participate in profits, in proportion to the AAOF contribution of financial assistance, that result from an AAOF supported project.

**Orthodontic Faculty Development  
Fellowship Award/Post-doctoral Fellowship Award  
Submission Checklist**

Please check each item to confirm and sign at the bottom of the page.

- 1 Name of Applicant: \_\_\_\_\_
- 2 AAOF Cover page completed and signed.
- 3 Title Page
- 4 Description of Development Plan - Including:
  - Any planned educational program
  - Any research project planned or underway
  - Plan for development of teaching skills
  - Plan for development of clinical skills
  - Statement of career goals
  - Responsibilities of the Fellow
  - Identification of principal advisors and their responsibilities
- 5 Budget Justification - including additional sources of support for this project, if any.
- 6 CV's for applicant (complete) and all principal advisors (biographical sketch)
- 7 3 Letters of support, including letter(s) from Department Chair and/or Program Director addressing departmental need
- 8 Statement from Department Chair or Program Director confirming status eligibility.
- 9 Separate statement, or a reference included within Project Plan, concerning citizenship/foreign national status-see "Eligibility"/pg. 2010-7
- 10 Letter in support of the Project Plan from appropriate institutional official, e.g., Department Chair or Program Director
- 11 Application formatted according to the OFDFA Application Guidelines (pgs. 2010-7)
- 12 Two paper copies of application that are clipped - not in a binder or cover - and one electronic PDF copy, sent either via e-mail ([aaofevp@aaortho.org](mailto:aaofevp@aaortho.org)) or on CD
- 13 Final review of application for readability and errors (preferably by experienced faculty member)
- 14 This checklist inserted behind cover page after completion
- 15 I hereby state that, for the purposes of this Award (i.e., for an Orthodontic Faculty Development Fellowship Award) my academic career began: \_\_\_\_\_(Month)  
\_\_\_\_\_ Year.

I confirm that all the requested materials are included; that I have read the criteria for AAOF funding in general and for the specific funding category in which I am applying in particular; and that I am eligible for this award, if approved:

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Applicant's Signature

Date

## **Named Awards Listing**

### **Biomedical Research Awards**

B.F. Dewel Memorial Biomedical Research Award\*

Fred F. Schudy Memorial Research Award

### **Orthodontic Faculty Development Fellowship Awards**

Willie and Earl Shepherd Fellowship Award\*

Robert E. Binder Teaching Fellowship Award

Robert E. Gaylord Teaching Fellowship Award

Anthony A. Gianelly Teaching Fellowship Award

T.M. Graber Teaching Fellowship Award

Michael Matlof Memorial Teaching Fellowship Award

Robert M. Ricketts Sunflower Orthodontics Fellowship Award

Subtelny, Baker, Eastman Teaching Fellowship Award

Orhan C. Tuncay Teaching Fellowship Award

Eugene E. West Memorial Fellowship Award

Albert P. Westfall Memorial Teaching Fellowship Award

### **Center Awards**

3M Unitek Corporate Center Award

Align Technologies, Inc. Corporate Center Award

American Orthodontics Corporate Center Award

GAC International Corporate Center Award

Ormco/ "A" Company Corporate Center Award

TP Orthodontics Corporate Center Award

**\*Awarded to the most outstanding application within the category.**

**Orthodontic Faculty Development Fellowship Award & Post-doctoral  
Fellowship Award**

**Application Cover Sheet**

Name/Institution of Applicant \_\_\_\_\_

Dates of the Proposed Project Period \_\_\_\_\_

General Budget

Total Amount Requested from AAOF                   \$ \_\_\_\_\_

Funds From Other Sources                               \$ \_\_\_\_\_

Total Project Cost                                         \$ \_\_\_\_\_

Budget Categories for AAOF Funds

Salary or Stipend Supplement                         \$ \_\_\_\_\_

Research Equipment and Supplies                   \$ \_\_\_\_\_

Research Personnel                                       \$ \_\_\_\_\_

Training or Other Educational Costs                 \$ \_\_\_\_\_

Other Expense                                             \$ \_\_\_\_\_

Total                                                         \$ \_\_\_\_\_

Applicant's Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

E-mail \_\_\_\_\_

Institution \_\_\_\_\_

Signature of Applicant \_\_\_\_\_

Date of Submission \_\_\_\_\_

Signature of Responsible Institution Official \_\_\_\_\_

**AAO Foundation Award Final Report  
(a/o 2/12/08)**

Principal Investigator	
Co-Investigator	
Secondary Investigators	
Award Type	
Project Title	
Project Year	
Institution	
Summary/Abstract (250 word maximum)	
Were the original, specific aims of the proposal realized?	
Were the results published? If not, are there plans to publish? If not, why not?	
Have the results of this proposal been presented? If so, when and where? If not, are there plans to do so? If not, why not?	

Please mail hard copy to AAOF and also send electronically  
(as a Word document and e-mail attachment) to  
aaofevp@aaortho.org

**AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION**

**Letter of Agreement - Fellowship Awards**

**(Orthodontic Faculty Development Fellowship Award  
and Post-doctoral Fellowship Award)**

**Basic Agreement**

This Letter of Agreement is between the AAO Foundation ("AAOF") and \_\_\_\_\_ (Name of "Recipient") in the amount of \$\_\_\_\_\_ (Dollar Amount of Award) for an AAOF **Orthodontic Faculty Development Fellowship Award** for the period of July 1, 2010 through June 30, 2011.

Both the AAOF and the Recipient agree to the following:

**Title of the Project:**

1. The funding provided by the AAOF is solely for the project approved. The title of the project is as follows:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Funding Period:**

2. Funding is for a one-year period. The period of the project may be extended, but only with the written permission of the AAOF, and the Recipient must request such an extension in writing. Any funds not disbursed on the actual project within the funding period, or any approved extension, must be returned to the AAOF.

**Budget Considerations**

3. Funding is provided solely for the Orthodontic Faculty Development Fellowship Award as titled above, according to the budget originally submitted with the project proposal, which is duplicated below:

Salary or Stipend Supplement \$ \_\_\_\_\_

Research Equipment and Supplies \$ \_\_\_\_\_

Research Personnel \$ \_\_\_\_\_

Training or Other Educational Costs \$ \_\_\_\_\_

Other Expense \$ \_\_\_\_\_  
Total Award \$ \_\_\_\_\_

4. The total award will be provided by July 1, 2010, upon the return of the completed Letter of Agreement - Fellowship Awards, Promissory Note, and any other necessary exhibits.
5. The Recipient may transfer funds from one category to another during the project period, but only with the written permission of the AAOF; the Recipient must request such permission in writing prior to transfer. In addition to the Recipient, the Department Chair or Program Director must also sign the request.
6. The AAOF does not provide funds to support institutional overhead or any other "indirect costs." If this is not acceptable to the Recipient or the Recipient's institution, then the funding must be immediately returned to the AAOF.

#### **Failure to Initiate the Project**

7. The recipient should begin the fellowship as soon as practical. If Recipient cannot begin the fellowship within the 12-month period beginning July 1, 2010, the Award will be canceled and any funds disbursed by the AAOF for this project must be immediately returned. In such a situation, once the impediments to conducting the project have been overcome, Recipient may reapply for a new award; however, the AAOF shall be under no obligation to make an award on such subsequent application.

#### **Progress and Final Reports**

8. Progress Reports are not required for Orthodontic Faculty Development Fellowship Awards under the one-year funding option.
9. A Final Report is due at the end of the funding period for all awards made by the AAOF.
10. The deadline for receipt of all Final Reports is July 1, 2011. An exception to this deadline may be granted in the case that the recipient has received, in writing, an extension of the funding period. Extensions must be requested in writing.
11. Unless an extension has been granted, if a recipient fails to submit a Final Report six months after the stated deadline, the recipient and the individual's institution will not be eligible to apply for any awards provided by the AAOF for a period of one (1) year.
12. The Final Report form submitted to the AAOF may be downloaded from the AAOF web site at the following URL:

<http://www.aaofoundation.net/Awards/upload/FORM%20-%20Final%20Report%20for%20Web-2.doc>). A final itemized accounting of the use of the Award may also be requested at the discretion of the AAOF.

13. By accepting the Award, the AAOF receives permission from the Recipient to distribute the Final Report, as well as any attachments, in whatever manner the AAOF deems appropriate; if the Recipient has any reservations in this regard (e.g., copyright concerns, etc.) the Recipient should prepare the report in such a way as to address his/her concerns.

### **Acknowledgment of AAOF Support**

14. It is understood that the recipient will make a good faith effort to publish or otherwise disseminate the findings of the project. Publications or presentations made by Recipient relating to the project must contain appropriate reference to support provided by the Foundation.

### **Terms of Payment**

15. Except in unusual instances, determined in the sole discretion of the AAOF, payment will be made only to accredited universities, schools, colleges, institutes, foundations, centers, departments or the like; provided, that the Award is personal to Recipient (regardless of the institution with which Recipient is affiliated), and nothing contained herein is intended to create any third-party beneficiary rights as to the Institution. Notwithstanding the foregoing, Recipient shall notify the AAOF of any change in Recipient's employment or affiliation status with the Institution, and the Foundation may, in its sole discretion, terminate the Award as a result of such change in status. Before the first payment is made, the AAOF must have the Federal Employer Identification Number of the Institution or, if funds are to be distributed to Recipient, the Social Security Number (or equivalent for non-U.S. citizens) of Recipient. The Foundation makes no representation regarding the taxation of funds distributed and will follow applicable law regarding the reporting of funds distributed.

16. The Award check(s) are to be made payable as follows:

Name of Payee \_\_\_\_\_

Institution \_\_\_\_\_

Tax Identification Number or Social Security Number \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip Code \_\_\_\_\_

### **Fellowship Stipulations**

17. For an Orthodontic Faculty Development Fellowship Award, Recipient agrees to a career in orthodontic education as a full-time faculty member for the duration of the Fellowship Period in the academic program specified in his/her Fellowship application.
18. Following the Recipient's fulfillment of his/her responsibilities as outlined above, Recipient agrees to actively pursue or continue full-time employment as an orthodontic educator at an orthodontic program accredited by the Commission on Dental Accreditation of the American Dental Association or the Canadian Dental Association.
19. Recipient understands that in order to secure or continue employment, it may be necessary to relocate. Recipient also understands that the Foundation may, at any time, in its sole and absolute discretion, request evidence of compliance with this provision from Recipient, and Recipient agrees to provide such evidence.
20. If Recipient is a student, Recipient understands and agrees that:

\* the Fellowship will be deemed an award not requiring repayment provided that he/she (a) successfully completes the Fellowship Program, and (b) secures full-time employment as an orthodontic educator at an orthodontic program accredited by the Commission on Dental Accreditation of the American Dental Association or the Canadian Dental Association immediately following completion of the Program, and continues in such employment for a period of time equal to the Fellowship Period (i.e., one year of teaching for each year of the Fellowship Period).

\* in the event that Recipient fails to successfully complete the Program, the entire amount of the Fellowship Award shall become immediately due and payable to the Foundation, together with interest thereon, as evidenced by the promissory note signed by Recipient in the form of Exhibit A to this Agreement (the "Promissory Note").

\* in the event that Recipient fails to secure full-time employment as a orthodontic educator as provided above, a pro rata portion of the Fellowship shall become immediately due and payable to the Foundation, together with interest thereon, as evidenced by the Promissory Note. Full-time employment shall be defined by the institution.

21. If Recipient is a faculty member, Recipient understands and agrees that:

\* the Fellowship will be treated as an award not requiring repayment provided that he/she continues full-time employment as an orthodontic educator at an orthodontic program accredited by the Commission on Dental Accreditation of the American Dental Association or the Canadian Dental Association following completion of the Fellowship Period for a period of time equal to the Fellowship Period (i.e., one year of commitment to continue teaching for each year of the Fellowship Period). Full-time employment shall be defined by the institution.

\* in the event that Recipient fails to continue full-time employment as a orthodontic educator in accordance with the foregoing provision, a pro rata portion of the Fellowship shall become immediately due and payable to the Foundation, together with interest thereon, as evidenced by the Promissory Note signed by Recipient in the form of Exhibit A to this Agreement.

### **Communication**

22. All communications regarding this Agreement shall be deemed effective given five business days after being sent by registered or certified mail, postage prepaid, return receipt requested, or one business day after being sent by commercial courier, if addressed as follows:

If to the Foundation: American Association of Orthodontists Foundation  
401 North Lindbergh Boulevard  
St. Louis, MO 63141  
Attention: Executive Vice President

If to Recipient: Name \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_  
State \_\_\_\_\_  
Zip Code \_\_\_\_\_

If to the Institution: Name \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_  
State \_\_\_\_\_  
Zip Code \_\_\_\_\_

23. Recipient agrees to keep the Foundation informed of any change in Recipient's name or address.

## Other

24. This Agreement constitutes the entire understanding between the parties with respect to the subject matter hereof and supersedes and replaces all prior agreements, understandings, writings and discussions between the parties relating to said subject matter, whether written or oral.
25. This Agreement shall not be assignable by Recipient or the Institution without the consent of the Foundation, which consent shall not be unreasonably withheld.
26. If any provisions of this Agreement are or become invalid or are ruled illegal or unenforceable by any court of competent jurisdiction under then current applicable law, it is the intention of the parties that the remainder of this Agreement shall not be affected thereby provided that a party's rights under this Agreement are not materially affected. It is further the intention of the parties that in lieu of each such provision which is invalid, illegal, or unenforceable, there be substituted or added as part of this Agreement a valid, legal and enforceable provision whose effect shall be as similar as possible to the effect intended by the parties in the original invalid, illegal or unenforceable provision.
27. This Agreement may be executed in two or more counterparts, each of which shall be an original but all of which taken together shall constitute one and the same instrument.
28. Recipient acknowledges that separately there has been sent electronically to the AAOF ([aaofevp@aaortho.org](mailto:aaofevp@aaortho.org)) a black and white photograph of recipient and a Word document synopsis (500 words) of their project/research/use of funds, which is to include a short biography, a brief description of the project, a statement how orthodontic education will benefit from their award and why the Foundation is important to their project.
29. Furthermore, Recipient(s) acknowledge(s) that a hard copy of the aforementioned photograph and synopsis is attached herein.
30. Recipient agrees that the AAOF may utilize the name and likeness of the recipient in any advertising, publications, and/or promotional materials.

IN WITNESS WHEREOF the parties hereto have caused this Fellowship Award Agreement to be executed as of the latest date written below:

for the AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION:

Signature\_\_\_\_\_

Name\_\_\_\_\_

Title\_\_\_\_\_

Date\_\_\_\_\_

for the RECIPIENT:

Signature\_\_\_\_\_

Name\_\_\_\_\_

Title\_\_\_\_\_

Date\_\_\_\_\_

for the INSTITUTION:

Signature\_\_\_\_\_

Name\_\_\_\_\_

Title\_\_\_\_\_

Date\_\_\_\_\_

**Exhibit A**  
**Form of Promissory Note**

**Orthodontic Faculty Development Fellowship Award**  
**and**  
**Post-doctoral Fellowship Award**

\$ \_\_\_\_\_

Date: \_\_\_\_\_

FOR VALUE RECEIVED, the undersigned (the "Maker"), hereby promises to pay to the order of AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION (the "Foundation"), at the office of the Foundation at 401 North Lindbergh Boulevard, St. Louis, Missouri 63141, the principal sum of \_\_\_\_\_ Dollars (\$ \_\_\_\_\_), or such lesser amount as shall be due from the Maker to the Foundation upon demand in accordance with the terms of that certain Award Agreement dated as of the date hereof between the Maker and the Foundation (the "Agreement"), in lawful money of the United States of America and in immediately available funds, and to pay interest on the unpaid principal amount thereof, at such office, in like money and funds, for the period commencing on the date on which the Maker received the Fellowship described in the Agreement until such amount shall be paid in full, at the rate of eight per cent (8%) per annum.

In the event that the Foundation must pursue collection of the amounts provided in this Note, the Maker shall pay the Foundation all costs and attorneys' fees incurred by the Foundation in connection with such collection.

This Note shall be governed by and construed in accordance with the laws of the State of Missouri, without regard to the principles thereof regarding the choice of law.

\_\_\_\_\_  
Maker