

ORTHODONTICS IS MY *P*ASSION...

“That’s why I support the AAOF.”



American
Association of
Orthodontists®



American Association of Orthodontists Foundation Grant Application & Review Process

- Workshop Goals
- AAOF Goals & Achievements
- Award Types & Eligibility Criteria
- 11 Required Components
- Review Process & Criteria
- Your & Your Mentors'/Chair's Roles in Ensuring Your Success
- Questions & Answers

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Workshop Goals

- Share information on
 - Award categories & requirements
 - Review process, criteria & funding decisions
- Desired outcomes
 - Improved quality & completeness of applications
 - Improved chances of your success
- Ultimate goal
 - Improved discovery & education in orthodontics
 - Justification for seeking additional funds from AAOF & donors

AAOF Goals & Achievements

- Advance the orthodontic specialty by supporting education and research
- Since 1994
 - \$10.8 million in funding primarily Junior faculty
 - 201 Fellowship Awards & 205 Research Awards
- Of 66 Department Chairs & 36 Program Directors (total of 102), 31 were supported by AAOF early in their academic careers.
- 80% of junior faculty supported remain in full-time academics after 5 years

New to AAOF Applications Submission

- Initiating on-line submission process this year
- To ensure a smooth transition:
 - On-line submissions, AND
 - Mail to AAOF
 - One paper copy
 - An electronic copy on a Thumb Drive/flashkey
- All three identical copies to be received by December 15, 2016

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Award Types & Eligibility Criteria

- All Award Categories
 - US/Canadians, green-card holders/applicants
- Distinction between full-time, part-time and residents by Award category
- Commitment to academic career (teaching/research)



Award Types & Eligibility Criteria

- All Award Categories
 - US/Canadians, green-card holders/applicants
 - Commitment to academic career (teaching/research)
- Distinction between full-time, part-time and residents by Award category
- Awards not offered in 2016
 - Education Innovation Award (EIA)
 - Program Award (PA) for support of workshops, symposia and lectures

Award Types & Eligibility Criteria

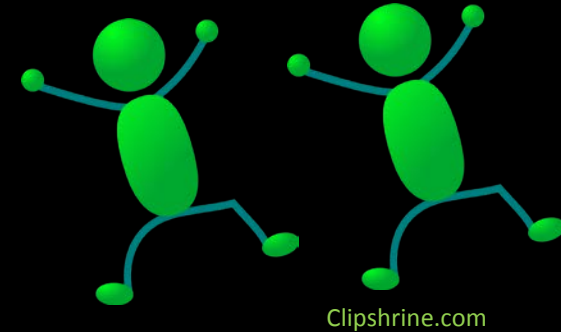
- **Support for Junior Faculty**

- Orthodontic Faculty Development Fellowship Award (OFDFA)

- \$20,000 for one year
- Full-time faculty ≤ 5 years in 1st appointment
- **TWO** proposals per orthodontic program

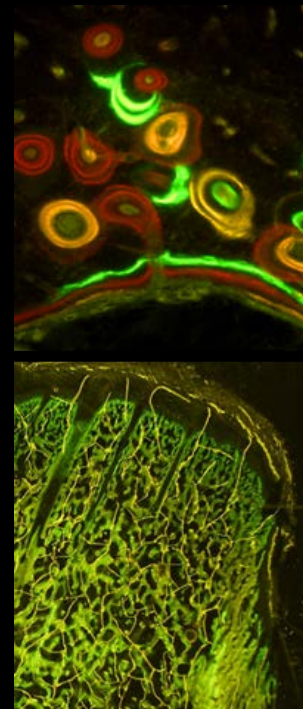
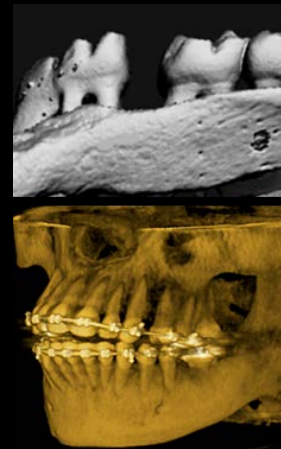
- Postdoctoral Fellowship Award (PFA)

- \$50,000 per year for 2 years (with 3rd year possible)
- Orthodontist / PhD (or equivalent)
- For post-doc research training (lab or clinical)
- High potential for significant future extramural (NIH) funding
- Only one proposal per orthodontic program



Award Types & Eligibility Criteria

- **Support for Junior Faculty (continued)**
 - Biomedical Research Award (BRA)
 - \$30,000 for one year
 - Full-time faculty for 3 -14 years
 - Rank: Assistant or Associate Professor
 - Multiple applications per orthodontic program permitted

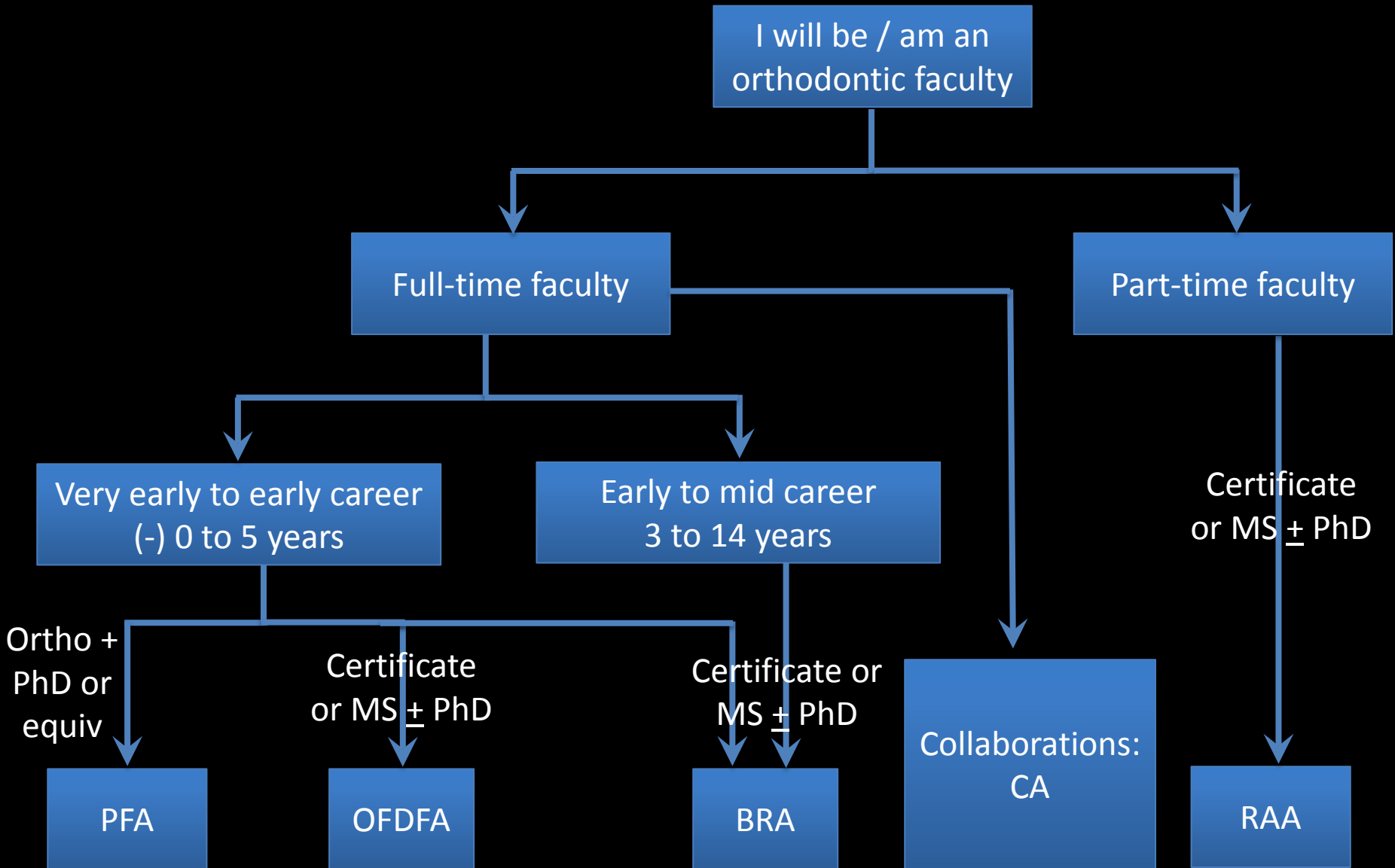


Award Types & Eligibility Criteria

- Research Aid Award (RAA)
 - \$5,000 per year for one year
 - Resident with commitment to part-time or full-time academic career
 - Or part-time (clinical) orthodontic faculty
 - **TWO** proposals per orthodontic program
- Center Award (CA)
 - \$25,000 per year for up to 3 years
 - No seniority limit
 - To enhance collaborations within and between institutions
 - Four types



Decision Tree: Selecting the Right Award Category



11 Required Components

1. Application cover sheet
2. Table of Contents
3. Title Page
4. Documentation of Eligibility
5. Previous AAOF Awards & Outcomes
 - Resubmissions only: Copy of previous AAOF Review
6. Budget & Budget Justification
7. Biosketches
8. Role of Applicant(s)
9. Proposed Plan
 - Resubmissions only: Introduction Page
10. Letters of Support
11. Appendix

Yellow font implies that these are the same for all Award Categories

Required Component #1 Application Cover Sheet

- Must be filled out, signed, & returned as application cover page
- If AAOF funds requested only for part of total budget, state amount from other sources

General Application Cover Sheet
(All Funding Categories, Except Fellowship Awards)

Name/Institution of Applicant: _____

Title of Project _____

Award Category _____

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

Personnel	\$ _____
Supplies	\$ _____
Equipment	\$ _____
Other Expense	\$ _____
<u>Total</u>	\$ _____

Applicant's Address _____

City _____ State _____ Zip Code _____

Telephone _____ Fax _____

E-mail _____

Institution _____

Signature of Applicant _____

Date of Submission _____

Signature of Responsible Institution Official _____

Required Component #2

Table of Contents & Checklist

- Enter correct page numbers
- All Checklist items must be confirmed
- Attest to completeness of application by signing & dating

Applicant Name (Last, First): _____

AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION
AWARD APPLICATION
TABLE OF CONTENTS

	Page numbers
Application Cover Sheet – completed and signed	1
Table of Contents	2
Title Page	3
Documentation of Eligibility	4
Previous AAOF Awards and Outcomes	5
Previous AAOF PARC Review (resubmission applications only)	
Budget and Budget Justification (2 page maximum)	
Biosketch(es) (4 page maximum for each biosketch)	
Role(s) of Applicant(s) (1 page maximum)	
Proposed Plan	
Introduction (1 page maximum) for resubmission application only	
Abstract (1 page maximum)	
Project Plan (see specific instructions for page limits & required contents)	
Timetable (1 page maximum)	
References	
Status of Human and/or Animal Research explaining status of request	
Approval Letter attached	
Approval Pending – append statement explaining status of request	
Other – append statement explaining status of request	
Letters of Support	
Co-investigators/consultants/advisors	
Institutional Official	
Department Chair	
Appendix Materials	
Institutional Approval of Proposed Human Research	
Institutional Approval of Proposed Animal Research	

CHECKLIST

Please check (✓) each item to confirm and sign the bottom of the page

- All required components are listed in Table of Contents and page number(s) provided
- Application is formatted according to the General Application Guidelines
- Copies of application provided: 2 paper (stapled/not in a binder or cover) and 1 electronic
- Completed final application review for readability/errors by an experienced faculty member
- I have read the criteria for AAOF funding, both general and for applicable award category
- I am eligible for this award, if approved

Applicant's Signature _____ Date _____

Required Component #3

Title Page

- 1-page maximum, include
 - Award category
 - Title of application
 - All key personnel
 - Include biosketches for all named (see #7)
 - Other information specific to Award type
 - Brief statement (1-3 sentences)
 - Relevance of proposal to
 - Clinical orthodontics
 - Orthodontic education
 - Use non-technical language

Page 3: Title Page [not to exceed one page]

a. **Category of award:** Orthodontic Faculty Development Fellowship

b. **Applicant:** O. T. Mover, DDS, MS, PhD

c. **Principal advisor and mentor:**

- Principal advisor:
Q. B. Fox, DDS, MSc, PhD
Professor, Department of Orthodontics & Dentofacial Orthopedics
Tops University, School of Dentistry
- Mentor:
V. F. Helper, DMD, EdD
Associate Dean for Student Services
Professor, Department of Public Health
Tops University, School of Dentistry

d. **Developmental Plan** (give relative % to be devoted to each category so total is 100%):

- Educational 20%
- Research 50%
 - Title:** The Biology of Tooth Movement Revisited
 - A brief statement (one-three sentences) using non-technical language describing the relevance of the proposal to clinical orthodontics and/or orthodontic education
- Teaching 20%
- Clinical skills 10%

Required Component #4

Documentation of Eligibility

- Citizenship, Foreign National Status
- Current academic rank & years
- Location(s) of activities
- Verification by Institutional Official
 - Department Chair
 - Program Director or
 - Dean

Applicant Name (Last, First): _____

DOCUMENTATION OF ELIGIBILITY				
Citizenship:	Foreign National Status (if not a US or Canadian citizen):			
Current Academic Rank: (For BRA, CA, EIA)	Current Academic Status: (For OFDFA/PFA/RAA)			
	Check all that apply	Name of Program or Institution	Year in Program	Anticipated completion date
	Resident			
	MS candidate			
	PhD candidate			
	Post-doc*			
Years as Faculty: Full-time Part-time	Start Date of Academic Career: <div style="display: flex; justify-content: space-around; width: 100%;"> _____ _____ </div> <div style="display: flex; justify-content: space-around; width: 100%; font-size: x-small;"> Month Year </div>			
Location(s) where award activities will take place (name and address of each Institution / Program participating) 				
Institutional Official who verifies the above information as correct				
_____ Name				
_____ Position				
_____ Signature Date				
*PFA applicants must clearly indicate in Biosketch that are dentists with specialty training in orthodontics obtained in an ADA or CDA accredited program and hold a doctorate (PhD, DMSc or equivalent) degree.				

Required Component #5

Previous AAOF Awards & Outcomes

- Reflects on:
 - Academic accomplishments
 - Success in career development and scholarship
 - Future chances of success with additional funding
- Important outcome measure for AAOF and donors

Applicant Name (Last, First): _____	
PREVIOUS AAOF AWARDS AND OUTCOMES	
Award Type:	_____ <small>(Use abbreviations defined in guidelines: OFDFA, PFA, BRA, CA, EIA, RAA, etc.)</small>
Title of Project:	_____
Role in Project:	Amount of Funding: \$ _____
Period of Support:	_____ to _____ <small>(Month-day-year) (Month-day-year)</small>
Outcomes: - Cite/describe any: 1. Publications 2. Presentations (organization, location, date) 3. Follow-up grants or awards	_____
Progress Report (Required for multi-year OFDFA, PFA, CA and BRA)	Date due _____ or ___N/A Submitted ___ No ___ Yes, on date _____ Date revisions submitted (if necessary) _____ Date accepted _____
Final Report (All funded projects)	Date due _____ or ___N/A Submitted ___ No ___ Yes, on date _____ Date revisions submitted (if necessary) _____ Date accepted _____
Scheduled Completion Date of Project	Completion date per original proposal _____ No Cost Extension required ___ Yes ___ No ___N/A Anticipated/Actual completion date _____
Report on Previous Funding	Provided ___ Yes ___ No ___N/A
Repeat the above, as appropriate to provide a complete history of AAOF award funding for all key personnel. If the application is a resubmission, please attach <u>The AAOF PARC Review for the previous application following this "Page 5" form</u>	

Required Component #5

Previous AAOF Awards & Outcomes

- Resubmissions only:
 - Attach a copy of your previous AAOF Review

AAOF PARC Review Template (2017)

Principal Investigator(s): _____

Mechanism: OFDFA _____ BRA _____ EIA _____ Other (specify) _____

Institution: _____

Citizenship status: Verified _____ Y _____ N Eligible _____ Y _____ N

Chairs/Institutional support letter: _____ Y _____ N

Overall Impact

Reviewers will provide an overall impact score to reflect their assessment of the likelihood for the project to exert a strong influence on the research topic or career development with consideration of the following five scored review criteria, and additional review criteria. An application does not need to be strong in all categories to be judged likely to have major scientific impact or a sound career development. A summary of the review should be prepared in a manner suitable for sharing with the applicant. Weaknesses can be stated as major, moderate and minor.

Overall Impact

Strengths

-

Weaknesses

-

Scored Review Criteria

Reviewers will consider each of the five review criteria below in the determination of scientific and technical merit, and give a separate score for each.

1. Significance

Strengths

-

Weaknesses

-

Required Component #6

Budget & Budget Justification

- All eligible expenses only
 - Itemized list
 - Justification or why needed
- Ensure that you follow guidelines provided on eligible expenses (salaries) and limits (e.g. travel)
- If AAOF funds only part of planned support, identify
 - For which specific portion/s of proposal
 - How remainder will be supported (agency, amount)



Required Component #6

Budget & Budget Justification

- Fellowships only
 - Identify & describe alternative funds for Proposed Plans if all/part of funds are for salary support
- Reviewers assess
 - Appropriate for proposed activities
 - Completeness
 - Reasonable cost estimates
 - Whether or not unbudgeted essential equipment, supplies, resources to perform studies are available
 - Help them out!

Required Component #7

Biosketches

- Include for all individuals named on Title Page
- NIH biosketch \leq 4 pages
 - <http://grants.nih.gov/grants/funding/phs398/phs398.html>
 - Personal statement
 - Positions & honors
 - Selected citations
 - Research support (ongoing & past 3 years)

[Click for More Info on This Form](#)

Program Director/Principal Investigator (Last, First, Middle): _____

BIOGRAPHICAL SKETCH
Provide the following information for the Senior/key personnel and other significant contributors in the order listed on Form Page 2.
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME	POSITION TITLE		
eRA COMMONS USER NAME (credential, e.g., agency login)			

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY

Please refer to the application instructions in order to complete sections A, B, C, and D of the Biographical Sketch.

OMB No. 0925-0001/0002 (Rev. 08/12 Approved Through 8/31/2015) Page ____ Biographical Sketch Format Page

Required Component #8

Roles of Applicant(s) & Other Participants

- Include all individuals named on Title Page
 - Role(s)
 - Responsibilities
 - % effort



- Follow specific instructions for Award type (e.g. OFDFA mentor role & associated details)

Required Component #9

Proposed Plan

1. Abstract (≤ 1 page)
2. Project Plan(s)
 - Different page limits & content for different Award types
 - Resubmissions only: Introduction page (see next slide)
3. Timetable (≤ 1 page)
4. References (no page limit)
 - Include all cited materials

Resubmission Applications: #9-2

- Applicant/s must
 - Make appropriate & major changes to the re-submitted application
 - Append previous AAOF PARC Review following Form Page 5
 - i.e. after “Previous AAOF Awards & Outcomes” page/s
 - Include 1-page **Introduction** in section 9-2 of Project Plan

Resubmission Applications: #9-2

- **Introduction** (1 page maximum)
 - Summarizes: substantial additions, deletions, & changes to the previous application
 - Includes responses to all of the “weaknesses” provided in the six sections of the critique
 - Should not exceed one page
 - For e.g.:
<https://www.niaid.nih.gov/researchfunding/grant/documents/ratnerresplan.pdf>

Required Component #10

Letters of Support

- No page limits
- Required for all Award categories
- Award-specific instructions
- Importance as specified in instructions
- Avoid extraneous letters

Required Component #11

Appendix

- No page limits
- If applicable
 - Human Research: IRB approval status
 - Describe status
 - Include notice if approved
 - Animal Research: IACUC approval status
 - Describe status
 - Include notice if approved
- Accepted & published manuscripts
 - Not required
 - ≤3 authored by applicant
 - Directly relevant to application

OFDFA & PFA: Specifics

- Project Plans
 - Page limits
 - OFDFA ≤6 pages
 - PFA ≤10 pages
- 4 Developmental Plans:
 - Required: Programs & activities
 1. Educational
 2. Clinical skills
 3. Teaching skills
 4. Research
- Area/s of emphasis
 - OFDFA: One or more
 - PFA: Research must be focus
- Provide
 - Sufficient detail for evaluation
 - Note: History/previous accomplishments ≠ Plans
 - Key Advisors for each Developmental Plan
 - Should review and mentor on application prior to submission
 - Provide letter of support

OFDFA & PFA: Specifics

- Letters of Support
 - Page limits: None
 - At least 3 supporting letters
 - Describe abilities/future potential, qualifications re: goals of OFDFA or PFA
 - Individuals named on Title Page
 - Principal advisor(s)/mentor(s), Co-I(s), Consultant(s)
 - Verify participation, plans for support
 - Institutional official
 - Verify support of/resources for 4 Developmental Plans
 - Chair
 - Verify eligibility, support & time
 - Confirm appointment as FT faculty as of July 1 of funding period

OFDFA & PFA: Other Info

- TWO OFDFA & ONE PFA proposal per orthodontic program
- PI may apply for both OFDFA & PFA
 - Only 1 will be funded
- Current residents may apply if have
 - FT faculty position starting July 1st of funding year
 - Verification of appointment required from chair

BRA & RAA: Specifics

- Project Plans

- Page limits

- ≤ 10 pages for BRA
- ≤ 5 pages for RAA

- Background & Significance

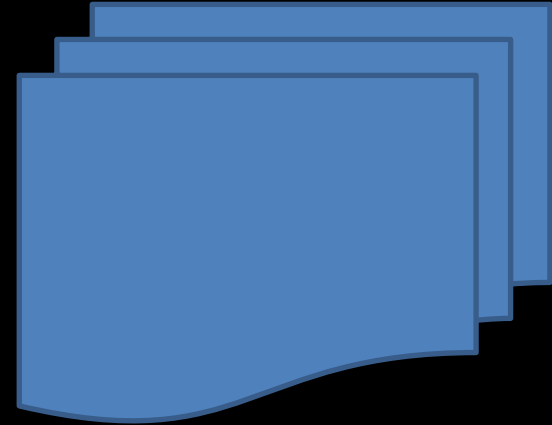
- Preliminary Studies

- Experimental Design, Methods & Statistical Analyses

- Expected Outcomes

- Alternative Approaches

- What if outcomes are not as expected?
- How to trouble-shoot
- Demonstrate that all aspects been considered



BRA & RAA: Specifics

- Letters of Support
 - Page limits: None
- Co-I(s), Consultant(s)
 - Individuals named on Title Page
 - Verify participation, plans for support
- Institutional official
 - Verify support of/resources for Project Plan
- Chair's letter
 - BRA
 - Verify eligibility, support & time
 - Confirm year 3-14 as FT faculty as of July 1 of funding period
 - RAA
 - PT faculty may apply
 - Residents
 - Evidence of resident's strong interest in a future academic career
 - Verify support for applicant & time remaining in residency program to complete the project

BRA: Other Info

- Investigator-initiated research
 - Orthodontics & CF biology
 - Expected to lead to
 - Publications
 - Preliminary data: external grant applications (e.g. NIH)
 - Scientific merit emphasized
- No limit: # of proposals per orthodontic program
- PI may
 - Apply for both BRA & PFA - only 1 will be funded
 - Can not apply if PI/Co-PI on another application

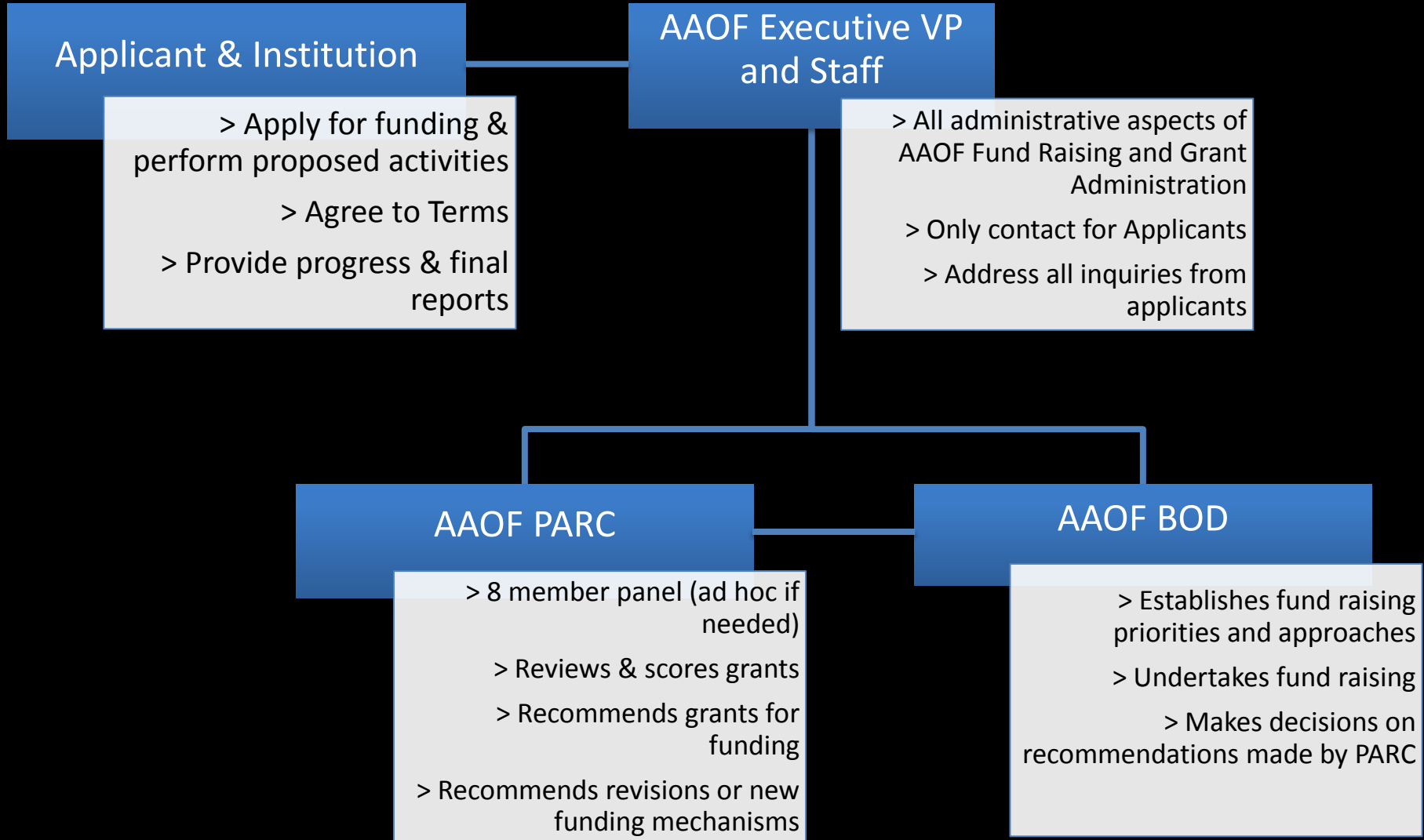
Center Award

- Four types
 1. Establishing a “center” of investigation
 2. Supporting an established “center” of investigation
 3. Support of special collections & databases
 4. Support of collaborative inter-institutional symposia / workshops to expedite discoveries & technology transfer
- Project Plan ≤ 10 pages
- Content depends on Type 1 to 4
- Need to demonstrate
 - Genuine cooperative and collaborative undertaking
 - Not merely an expanded BRA

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Process for Award Application, Review & Funding



PARC: Planning and Awards Review Committee

BOD: Board of Directors

The Process Flow

- AAOF Executive VP and Staff
 - AAOF Awards materials issued
 - Receives all applications
 - Reviewed by AAOF staff for meeting deadline, eligibility and completeness
 - Incomplete, ineligible or late applications triaged
- PARC
 - Chair assigns applications to PARC members generally based on area(s) of expertise
 - Applications scored initially by 2 reviewers using specific scoring criteria
 - Written reviews and preliminary overall impact scores (scale of 1 to 9)
 - Additional reviewers sought when scores vary by more than 2 points
 - PARC meeting- reviews presented with preliminary scores and discussed; final scores provided by all reviewers; final scores by all PARC members; average final score plus review collated
 - Makes funding recommendations to AAOF BOD on basis of funding available and quality of applications
- AAOF BOD makes final funding decisions
- AAOF Executive VP communicates funding decision and grant critique

Review Criteria

- Overall Impact
 - Scale of 1 to 9
 - Based on following criteria
- Scored Review Criteria
 - Significance
 - Investigator(s)
 - Innovation
 - Approach
 - Environment including mentors & resources
 - Success and Productivity of Previous Funding Provided
- Strengths and Weaknesses (major, moderate, minor)
- Additional Review Criteria
 - Human or Animal Research Approval Status
 - Budget
 - Appropriate & justified
 - Ineligible requests



Scoring Scale & Guidelines

Impact	Score	Descriptor	Additional Guidance on Strength/Weaknesses
High	1	Exceptional	Exceptionally strong with essentially no weaknesses
	2	Outstanding	Extremely strong with negligible weaknesses
	3	Excellent	Very strong with only some minor weaknesses
Medium	4	Very Good	Strong with numerous minor weaknesses
	5	Good	Strong but with at least one moderate weakness
	6	Satisfactory	Some strengths but also some moderate weaknesses
Low	7	Fair	Some strengths but with at least one major weakness
	8	Marginal	A few strengths and few major weaknesses
	9	Poor	Very few strengths and numerous major weaknesses

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Where Do Applicants Trip Up

- Quality of application
 - How strong is it in each of the criteria?
 - Is it proposing novel ideas and approaches?
- Formatting & completeness of application
 - Did you submit by the deadline?
 - Did you follow the instructions diligently?
 - Are all required materials included?
- Award category
 - Are you eligible for the Awards category for which you have applied?
 - Is this the Award category in which you are most competitive?

Where Do Applicants Trip Up

- Mentorship & Consultants
 - If grant is poorly compiled or question is weak or dated, it reflects on potential for inadequate or weak mentorship
 - Seek strong, relevant mentors
 - Seek input early and often
- Accomplishments from prior funding
 - Did you achieve the goals of your previous funding?
 - Have you filed your reports with AAOF?

Best Practices

- Start 6 months prior to submission
- Research
 - Define excellent & novel questions and experimental design, contemporary methodologies
 - Provide any preliminary data to support your ideas
- For career development
 - Seek out newer approaches to designing curriculum and teaching methods
 - Take relevant courses, workshops and classes

Best Practices

- Start 6 months prior to submission
- Research
 - Define excellent & novel questions and experimental design, contemporary methodologies
 - Provide any preliminary data to support your ideas
- For career development
 - Seek out newer approaches to designing curriculum and teaching methods
 - Take relevant courses, workshops and classes

Best Practices

- Mentorship
 - Strong, supportive and dedicated mentorship in research, teaching and career development
- Application Refinements
 - Present and discuss your proposals with your mentors and consultants frequently, have them read and revise them
- Have you done all your own work?
 - Complete well organized proposal
 - Attention to detail
 - Make it easy for the reviewers
 - Will reviewers have to look everywhere to dig up the needed information?
Place content where it should be
- Think outside the box

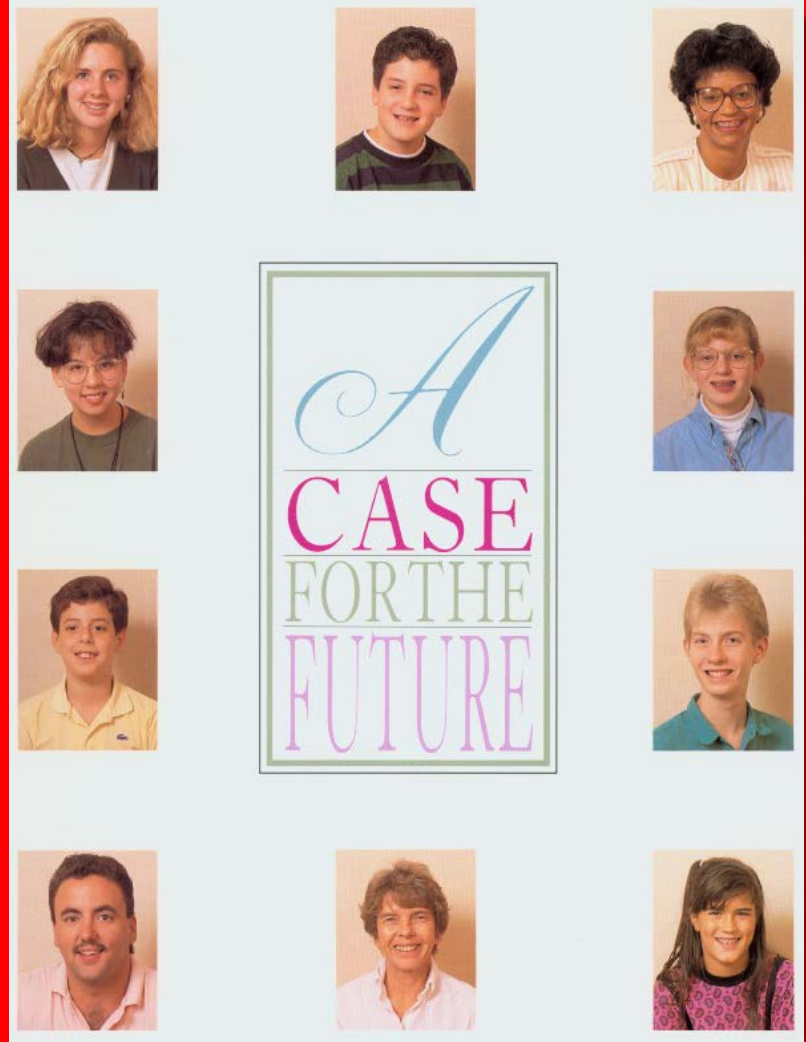
Awards Types for 2016

- Junior Faculty
 - OFDFA
 - PFA
 - BRA
- Center Award
- Research Aid Award

The Future

- Continue building on
 - Quality of applications
 - Discoveries in orthodontics
 - Faculty development successes
- Continue enhancing quality of review and feedback
- Moving to fully electronic submissions

Thank You



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AAOF**

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