ORTHODONTICS IS MY PASSION...

“That’s why I support the AAOF.”
American Association of Orthodontists Foundation

Grant Application & Review Process

- Workshop Goals
- AAOF Mission & 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

• **Improve**
  – Quality & completeness of applications
  – Chances of your success
  – Discovery & education in orthodontics
  – Justification for fund-raising efforts of AAOF
AAOF Mission & Achievements

- **Mission**
  - Advance the orthodontic specialty by supporting quality education and research that leads to excellence in patient care

- **Since 1994**
  - $10.7 million in funding primarily Junior faculty
  - 225 Fellowship Awards & 222 Research Awards

- >30% of Department Chairs & Program Directors supported by AAOF early in their academic careers

- 76% of faculty supported by AAOF awards remain in full-time academics after 5 years

http://www.aaofoundation.net
New to AAOOF Application Submission

• Call for proposals
  – Business/Practice of Orthodontics
  – Access/Barriers to Care

• Biomedical Research Award
  – Any full-time faculty in an Orthodontic Department
  – ≥3 years in full-time academics
    • Previous limit: 3-14 years
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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 2018

- Education Innovation Award (EIA)
- Program Award (PA) for support of workshops, symposia and lectures
AAOF Application Submission

• On-line 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, 2017
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 with PhD (or equivalent)
    • For post-doc research training (lab or clinical)
    • High potential for future extramural (NIH) funding
    • Only one proposal per orthodontic program
Award Types & Eligibility Criteria

• Support for Orthodontic Faculty
  – Biomedical Research Award (BRA)
    • $30,000 for one year
    • Full-time faculty for ≥3 years
    • Any rank
    • 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 – letter of support should state academic interest
  – Or part-time (clinical) orthodontic faculty
  – TWO proposals per orthodontic program

• Center Award (CA)
  – ≤ $25,000 per year for up to 3 years
  – To enhance collaborations within and between institutions
  – Four types
Decision Tree: Selecting the Right Award Category

I will be / am an orthodontic faculty

Full-time faculty

Very early to early career (-) 0 to 5 years
- Ortho Cert + PhD or equiv
  - PFA
  - OFDFA

≥3 years
- ± Ortho Certificate ± MS ± PhD
  - BRA

Part-time faculty

Ortho Certificate ± MS ± PhD

Collaborations: CA

RAA
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
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
Required Component #3

Title Page

• 1-page maximum, include
  – Award category/General/CFP
  – 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
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
## Required Component #5

### Previous AAOOF Awards & Outcomes

- Reflects on:
  - Academic accomplishments
  - Success in career development and scholarship
  - Future chances of success with additional funding

- Important outcome measure for AAOOF and donors

### PREVIOUS AAOOF AWARDS AND OUTCOMES

<table>
<thead>
<tr>
<th>Applicant Name (Last, First):</th>
<th></th>
</tr>
</thead>
</table>

| Award Type: | (Use abbreviations defined in guidelines: OFDFA, PFA, BRG, CA, FIA, RIA, PAA, etc.) |
| Title of Project: |  |
| Role in Project: | Amount of Funding: $ |
| Period of Support: | (Month-day-year) to (Month-day-year) |

**Outcomes:**
- Describe any:
  1. Publications
  2. Presentations
  3. Follow-up grants or awards

<table>
<thead>
<tr>
<th>Progress Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Required for multi-year OFDFA, PFA, CA and BRG)</td>
</tr>
<tr>
<td>Date due</td>
</tr>
<tr>
<td>Submitted</td>
</tr>
<tr>
<td>Date revisions submitted (if necessary)</td>
</tr>
<tr>
<td>Date accepted</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Final Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All funded projects)</td>
</tr>
<tr>
<td>Date due</td>
</tr>
<tr>
<td>Submitted</td>
</tr>
<tr>
<td>Date revisions submitted (if necessary)</td>
</tr>
<tr>
<td>Date accepted</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Scheduled Completion Date of Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completion date per original proposal</td>
</tr>
<tr>
<td>No Cost Extension required</td>
</tr>
<tr>
<td>Anticipated/Actual completion date</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Report on Previous Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provided</td>
</tr>
</tbody>
</table>

Repeat the above, as appropriate to provide a complete history of AAOOF award funding for all key personnel. If the application is a resubmission, please attach The AAOOF PARC Review for the previous application following this “Page 5” form.
Required Component #5
Previous AAOF Awards & Outcomes

• Resubmissions only:
  – Attach a copy of your previous AAOF Review
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 ≤ 4 pages
  - Personal statement
  - Positions & honors
  - Selected citations
  - Research support (ongoing & past 3 years)
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.:
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 ≥3 years 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 must be highlighted in letter
      - Verify support for applicant & time remaining in residency program to complete the project
BRA: Other Info

- Investigator-initiated research
  - Orthodontics & related topics
  - 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

Applicant & Institution
- Apply for funding & perform proposed activities
  > Agree to Terms
  > Provide progress & final reports

AAOF Executive VP and Staff
- All administrative aspects of AAOF Fund Raising & Grant Administration
  > Only contact for Applicants
  > Address all inquiries from applicants

AAOF PARC
- 8 member panel (ad hoc if needed)
  > Reviews & scores grants
  > Recommends grants for funding
  > Recommends revisions or new funding mechanisms

AAOF BOD
- Establishes fund raising priorities & approaches
  > Undertakes fund raising
  > Makes decisions on recommendations made by PARC

PARC: Planning and Awards Review Committee
BOD: Board of Directors
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

http://peter.baumgartner.name/2014/05/23/double-blind-review-ein-fallbeispiel/
## Scoring Scale & Guidelines

<table>
<thead>
<tr>
<th>Impact</th>
<th>Score</th>
<th>Descriptor</th>
<th>Additional Guidance on Strength/Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>1</td>
<td>Exceptional</td>
<td>Exceptionally strong with essentially no weaknesses</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>Outstanding</td>
<td>Extremely strong with negligible weaknesses</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>Excellent</td>
<td>Very strong with only some minor weaknesses</td>
</tr>
<tr>
<td>Medium</td>
<td>4</td>
<td>Very Good</td>
<td>Strong with numerous minor weaknesses</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>Good</td>
<td>Strong but with at least one moderate weakness</td>
</tr>
<tr>
<td></td>
<td>6</td>
<td>Satisfactory</td>
<td>Some strengths but also some moderate weaknesses</td>
</tr>
<tr>
<td>Low</td>
<td>7</td>
<td>Fair</td>
<td>Some strengths but with at least one major weakness</td>
</tr>
<tr>
<td></td>
<td>8</td>
<td>Marginal</td>
<td>A few strengths and few major weaknesses</td>
</tr>
<tr>
<td></td>
<td>9</td>
<td>Poor</td>
<td>Very few strengths and numerous major weaknesses</td>
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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?
  – If this is resubmission of a previous non-AAOF grant has this been formatted to the AAOF guidelines?

• 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

• 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
Awards Types for 2018

• Junior Faculty
  – OFDFA
  – PFA
• BRA
  – ≥3 years of full-time academics
• Center Award
• Research Aid Award
• Changes for 2018 only for the following:
  – Expansion of the BRA to include Senior Faculty
  – Call for Proposals:
    • Business/Practice of Orthodontics
    • Barriers/Access to Care
The Future

• Continue building on
  — Quality of applications
  — Discoveries in orthodontics
  — Faculty development successes

• Continue enhancing quality of review and feedback

• Implementation of new AAOF Strategic Plan
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