

**AMERICAN ASSOCIATION OF ORTHODONTISTS
FOUNDATION**

2012 AWARDS MATERIALS (ANNOUNCEMENTS)

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REVISED (8/12/2011) TO INCLUDE

Educational Innovation Award & Additional Funding Aggregate

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Description, etc. for the Educational Innovation Award (EIA) is now included in this document!

Also, original aggregate amount announced for Awards was a total of \$300,000, which was increased to \$500,000 by the AAOF BOD at their meeting in August.

The AAO Foundation Awards Program for 2012 includes the following, as determined by the AAOF BOD:

- Maximum aggregate of \$500,000, with the number of proposals funded within each category to be determined by the number and quality of proposals submitted.
Call for Proposals/Education Innovation Award – \$50,000
 - This CFP shall be in the form of a Planning Grant, similar to that which was done for the Collections Project.

- Proposals may be applicant defined; however, proposals that address the specialty's concerns with respect to craniofacial anomalies and special care patients are invited.
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- Support of Junior Faculty – \$250,000
 - Orthodontic Faculty Development Fellowship Award
 - Maximum of \$15,000 for any one OFDFA
 - One-year option only (i.e., the three-year option not offered for 2012)
 - Proposals may be applicant defined; however, proposals that address the specialty's concerns with respect to craniofacial anomalies and special care patients, are invited.
 - Biomedical Research Awards
 - Maximum of \$25,000 for any one BRA
 - To accommodate Mid-Career Academics, as well as Junior Faculty increase the eligibility period from a maximum of 10 years full-time academics to 14 years full-time academics.
 - Proposals may be applicant defined; however, proposals that address the specialty's concerns with respect to craniofacial anomalies and special care patients, are invited.

General Announcement and Application Procedure (Revised 5/26/11)

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)
 - Applicant Defined
 - Call for Proposals
 - Post-doctoral Fellowships (PDFA)
2. Biomedical Research Awards
 - Applicant Defined
 - Call for Proposals
3. Center Awards
 - Applicant Defined
 - Call for Proposals
4. Educational Innovation Awards
5. Program Awards
6. Research Aid Awards
7. Gifts in Support of Orthodontic Education.

2012 Funding Priorities are a.) Orthodontic Faculty Development Fellowship Award (OFDFA), both applicant defined and CFP that address the specialty's concerns with respect to craniofacial anomalies and special care patients; b.) Biomedical Research Awards, both applicant defined and CFP that address the specialty's concerns with respect to craniofacial anomalies and special care patients; and c.) Educational Innovation Award Call for Proposals/Planning Grant.

Proposal Deadline is 12/15/11 – see Page 2012-5.

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, BRA and the EIA , the only ones available for 2012, 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, e.g., the Biomedical Research Award is \$25,000 and special CFP's are typically at higher levels as well.
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 for 2012.)**
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). A Progress Report is required for the BRA and for the EIA but not for the OFDFA. The Progress Report form is included within the 2012 Awards Materials. (2012-38.)
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. Moot for 2012, however, as the PDFA Award and the three-year OFDFA option are not available.*
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:
 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. For 2012, for all three awards categories (i.e., OFDFA, BRA and EIA), proposals are invited that address the specialty's concerns with respect to craniofacial anomalies and special care patients.
3. 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, i.e., no binders or covers.

4. *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.
5. 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

5. Applications for 2012 AAOF Awards will be received through Thursday, December 15, 2011. 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 15th 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 30th) 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 2012 Applicants" on page 2012-3)
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 PDFFA, 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 or mentors with appropriate credentials, adequate time and stated commitment to nurture the fellow's development
 - iii. Protected time for professional development
2. Biomedical Research Awards (BRA)
- 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, 2011), 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, the first year of a multiple-year Center Award, and the Educational Innovation 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. All approved proposals must also send a Synopsis and Photo before funding will be sent.

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, e.g., OFDFA, years one through three/five and BRA, years three-five through 14.
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. (See 2012 38.) Progress Reports are not required for the one-year OFDFA, the one-year option of the Center Award, the Educational Innovation Award (except in 2012) and the Program Award; however, Progress Reports are required for the three-year option of the OFDFA, the Post-Doctoral Fellowship Award, and the three-year option for both types of Center Awards.
6. A Final Report is due at the conclusion of the project for all categories of funding. 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. (see 2012 – 38.) As these Final Reports will be placed on the Foundation's web page, they are to be submitted electronically to 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:
 - 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 2011 are as follows:

- **Orthodontic Faculty Development Fellowship Awards**
 - **One-Year Funding Option, i.e., three-Year Option is NOT offered in 2012.**

ORTHODONTIC FACULTY DEVELOPMENT FELLOWSHIP AWARDS

General Description

The Orthodontic Faculty Development Fellowship Award (OFDFA) 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 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 OFDFA provides this 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. Proposals may be applicant defined; however, in 2012, proposals are also invited that address the specialty's concerns with respect to craniofacial anomalies and special care patients.

Funding for the OFDFA is available for those within the first five years of their initial full-time academic careers and is allowed for a maximum of three years; and then the Biomedical Research Award is the appropriate funding category. Together the OFDFA and Biomedical Research Award serve as a development as well as a recruitment/retention tool to ensure that faculty development occur at the outset, but, more importantly, that it continues into mid-career. 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 in eligibility for awards between Biomedical Research Awards (years 3/5 to 14) and Orthodontic Faculty Development Fellowship Awards (years 1 to 3/5) is by design to allow for a certain amount of flexibility between junior and midlevel faculty transition.

Eligibility

OFDFA are intended for those individuals who are preparing for, 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.

Individuals Preparing for a Career in Orthodontic Education

Individuals are eligible for an OFDFA 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 an OFDFA during the first five years of his or her initial teaching career; however, a commitment to full-time education is essential for an equal number of years the award was active. 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).

The OFDFA is not available to support sabbaticals or visiting faculty programs. Institutions may not have more than one faculty member supported by an AAOF OFDFA at any one time.

Format for the Application

1. Cover Page (provided by the AAOF specific to this award category - see page 2012-22): 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 2012-20): 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 the OFDFA 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 OFDFA, including the statement that the applicant is within years one- three/five of his/her full-time teaching career as of July 1, 2012.
8. 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 2013. 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 OFDFA will be withdrawn.

OFDFA 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.

Specific Application Guidelines

Category 2. Biomedical Research Awards

OFFERED IN 2012

General Description

The AAOF solicits applications on general research topics pertaining to orthodontics. The subject of investigation is determined by the applicant; however, in 2012, proposals that focus on the specialty's concerns with respect to craniofacial anomalies and special care patients, are invited. The maximum award for this type of project is \$25,000.00. *(Maximum funding amount increased from \$15,000 to \$25,000, effective in 2008.)*

Eligibility

Biomedical Research Awards are now focused on helping junior and mid-level faculty in the U.S. and Canada develop independent research activities to help complete requirements for tenure and promotion to professorship and to provide pilot data for other external funding applications (e.g. NIDCR).

Biomedical Research 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 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.

Awards are designed for those individuals employed in an orthodontic department during years 3-14 of their academic careers. Furthermore, the AAOF will be most enthusiastic for those proposals where there is collaboration with more senior faculty who are established investigators. Evidence of institutional commitment to the project (e.g., in the form of a letter of support from an appropriate institutional official/officials) is required.

Applicants must be considered full-time faculty members by their institution. Normally, such awards will be restricted to those faculty who hold the Assistant or Associate Professor academic grade (i.e., "junior" or "midlevel" faculty). Residents interested in an academic career or faculty in years 1-3/5 of their teaching careers are encouraged to

apply for a Fellowship Award (See 2012 - 9.), rather than for the Biomedical Research Award. For the purposes of determining when full-time academic appointments began, this only includes full-time appointments at U.S. or Canadian institution.

Note: The overlap in eligibility for awards between Biomedical Research Awards (years 3/5 to 14) and Orthodontic Faculty Development Fellowship Awards (years 1 to 3/5) is by design to allow for a certain amount of flexibility between junior and midlevel faculty transition.

Format for the Application

1. Cover Page (See 2012 - 23): This page must be filled out, signed, and returned as the cover page for the application.
2. Completed Submission Checklist (See 2012 - 21): 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: title of the project, name of principal investigator(s), and names of all co-investigator(s) and consultants.
4. Abstract (not to exceed one page): A synopsis of the proposed project should include the long-term goals and specific aims of the project, along with a concise description of the design and methods for achieving the goals. The problem under investigation should be clearly identified. This abstract is meant to serve as a succinct and accurate description of the proposed work when separated from the rest of the application.
5. Budget Justification (not to exceed two pages): A full description of how the funds will be used must be included along with the justification for the expenses. If the investigators are requesting or receiving funds from other agencies to support a portion of the proposed work or are receiving funds to support projects related to the present application, the nature, source, and the amount of support must be identified. If AAOF funds will only be used to support a portion of the proposed work, the applicant must clearly identify the specific portion(s) of the proposed work for which AAOF support is requested. Funds will not be available from the AAOF to support travel except that required to conduct the actual project. Funds are not available to support the production of illustrations for presentation or publication, to support publication costs, or to pay faculty salaries (for other than P.I. or Co-P.I.), student stipends, or student tuition. Non-student personnel can be supported, but justification must clearly equate the amount of work with amount of support requested. Salary support for the P.I. or Co-P.I. is allowed, but this must be justified with an appropriate explanation and, where appropriate, an indication of institutional commitment to the individual(s) making application.
5. Biographical Sketch (not to exceed two pages per investigator): A biographical

sketch using the NIH Form 398 format should be provided for each investigator involved in the project. (This form is on the Internet at <http://grants.nih.gov/grants/funding/phs398/phs398.html>.)

6. Role of the Applicant(s) (not to exceed one page): The role and responsibilities of each applicant involved in the project should be clearly described. A statement must also be included specifying how much time per week the investigator(s) will devote to the project.
7. Overall Objectives and Specific Aims (not to exceed one page): Applicants must state the broad, long-term objectives of the project and describe concisely what the specific research project is intended to accomplish. Applicants must state precisely and clearly the questions that the research will attempt to answer and any hypotheses to be tested.
8. Project Plan (not to exceed 10 pages): A detailed description of the background and significance, preliminary studies (if any), and experimental design and methods should be provided. Potential relevance to the clinical practice of orthodontics should be explained. Once again, evidence of institutional commitment to the project (e.g., in the form of a letter of support from an appropriate institutional official/officials) is required.
9. Timetable (not to exceed one page): A proposed timetable for the conduct of the project must be included.
10. References (no page limitations): All material referred to in the application must be referenced.
11. Specific Appendix Materials (no page limitations): If human subjects or vertebrate animals are involved in the proposed project, a copy of the appropriate review board application (pending or approved) must be appended to the application. If the applicant is affiliated with a department, a letter from the chairman of the applicant's department must be included that offers support for the applicant, specifies that the time necessary to conduct the project will be made available to the applicant, and confirms that the applicant will be in years 3-14 of his/her full-time teaching career as of July 1, 2012.
12. General Appendix Materials (no page limitations): Publications and manuscripts (only those accepted for publication) that are written by the applicants and are directly relevant to the proposed project may be appended. Do not include the publications of non-applicants. Applicants should be aware that appendix materials should only be used to support the application, not replace it; information crucial to the project 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.

Specific Application Guidelines

Category 5. Educational Innovation Award

General Description

The AAOF avidly supports the development of excellence in educational programs in an effort to sustain the specialty. As such, the AAOF initiated an awards category, Educational Innovation Award (EIA), in 2000-2001 designed to stimulate enhancements in orthodontic education. Although the EIA is not available every year, this funding mechanism will be offered for Pilot Planning Grants in 2012.

Background

During the 2011 AAO Annual Session, the AAOF sponsored an open forum planning session to further refine the objectives of the EIA Planning Grant, to which “publics” were invited, i.e., PARC, AAOF BOD, previous EIA applicants, AAO Task Force on Recruitment and Retention of Faculty, Orthodontic Program Directors and Department Chairs, among other interested parties. Participants identified the ongoing faculty shortages to be the major challenge to orthodontic education nationwide, and concluded that there is an urgent need for innovative strategies to recruit, mentor, develop and retain qualified orthodontic educators with strong research (clinical or basic) and teaching skills. For this purpose, it is recognized that a successful academic career at all levels and tracks (clinical, tenure, etc.) requires collaboration within and between institutions. In addition an excellent environment and optimal mentoring are necessary to develop the scholarly and teaching capabilities of individual faculty members. Thus collective efforts and sharing of core resources between programs are highly desirable for this EIA.

Applicants interested in submitting a proposal for this Planning Grant are encouraged to thoroughly investigate what may already be in existence (e.g., through the AAO, ADEA, etc.); to note in the proposals what sources have been reviewed; and to indicate how these resources may be integrated into the current application to enhance outcomes.

Objectives and Scope

In response to the recommendations from the planning session, the AAOF invites individuals, institutions and organizations to submit EIA Pilot Planning Grant proposals in support of program(s) or project(s) to enhance collaboration, mentoring, and resource sharing to facilitate faculty research opportunities, teaching skills, networking and support, and to increase the quality and productivity of faculty in individual schools. The maximum award for this type of project is \$50,000; support is for one year. Funding for subsequent years is dependent on a number of factors, including among others, the conclusions and recommendations arising from the Planning Grant.

The following ideas for EIA planning grant are provided as examples. They are not listed in any priority order and are not intended to be inclusive or restrictive.

- Approaches that will enable faculty at all levels, but particularly junior faculty and interested residents intending to go into full-time academics, visit other academic or research institutions for training and/or exposure to rigors or realities of academic life;
- Develop shared programs targeted to enhance teaching skills and methodologies, and research skills for junior and mid-level faculty as well as residents planning to go into full-time academics;
- Develop collaborative mentorship strategies to enhance success of new and mid-level faculty in specific areas including teaching, research, grant writing, leadership, etc. and in overall career development;
- Organize faculty development courses/seminars/workshop for junior and mid-level faculty on various topics that include teaching, scholarship, service, career development, etc.;
- Develop materials and / or workshops that provide information on what it entails to be successful in full-time academics as a resource for residents wishing to go into academics and for new faculty.

Eligibility

Any individual(s) with the proven experience and expertise necessary to lead the proposed program is invited to work with his/her institution to develop a planning grant proposal for the EIA. The institution with which the applicant(s) is associated must be an accredited orthodontic program in the U.S. or Canada. Collaboration among institutions is desirable and encouraged. Thus, multiple collaborators or Principal Investigators (PIs) if appropriate may be designated on the application for projects that require a team approach to effectively implement the program. However, a primary contact PI should be identified for each such application. The decision of whether to apply for an award with a single or multiple PIs is the responsibility of the participants and the applicants' organizations and should be determined by the goals of the program. When considering the multiple PI option, please be specific about the structure and governance of the PI leadership team. Multiple PIs on a project share the responsibility for leading and directing the project. Each PI is responsible and accountable for the proper conduct of the program, including the submission of required reports.

Format for the Application

1. Cover Page (provided by the AAOF – see below): This page must be filled out, signed, and returned as the cover page. Where the application has multiple PIs, this page should be filled by the primary contact PI.

2. Completed Submission Checklist (provided by the AAOF – see below). 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: title of the project, name(s) of principal applicant(s), and names of all co-applicants and consultants.
4. Abstract (not to exceed one page): A synopsis of the proposed project(s) should include the short-term goals of the planning grant, the long-term goals that could be achieved over time, and specific aims of the proposal, along with a concise description of the approach for achieving the goals desired. The abstract should also include the expected outcomes and how these will be measured and applied to the future long-term plan, as well as the significance and likely impact of this work. This abstract is meant to serve as a succinct and accurate description of the proposed project(s) when separated from the rest of the application.
5. Budget Justification (not to exceed two pages): A full description of how the funds will be used must be included along with the justification for the expenses. If the investigator(s) is / are requesting or receiving funds from other agencies to support a portion of the proposed work or are receiving funds to support projects related to the present application, the nature, source, and the amount of support must be identified. If AAOF funds will only be used to support a portion of the proposed program, the applicant must clearly identify the specific portion(s) of the proposed work for which AAOF support is requested.

Detailed Budget for Initial Budget Period - Enter the itemized costs requested. Provide a narrative justification for each proposed personnel position, including role and proposed level of effort. Include information regarding efforts to obtain funding for this project from other sources.

Allowable Costs: Salaries in proportion to the time or effort spent directly on the project; travel and per diem or subsistence allowances; supplies needed for administration of the program, only if received for use during the budget period

Non-allowable Costs: Purchase of equipment; transportation costs exceeding coach class fares; entertainment; tips; bar charges; personal charges; organization dues; production of illustrations for publication; support of publication costs; pay faculty salaries; student stipends; honoraria or other payments for the purpose of conferring distinction or communicating respect, esteem or admiration; and patient care.

Budget for the Subsequent Period - The long-term plan for the EIA Pilot Planning Grant is an important part of the proposal for the review process (see Project Plan below). Thus, applications should provide the projected costs under each budget category for the following year and, if necessary, any subsequent years. Approval of the planning grant application does not warrant an automatic approval of the budget

for the long-term program. Continuing with the long-term program will require a full evaluation of the proposal including the progress report during the planning period.

6. Biographical Sketch (not to exceed two pages per investigator): A biographical sketch using the NIH Form 398 format should be provided for each applicant involved in the project. This form is available on the Internet at <http://grants.nih.gov/grants/funding/phs398/phs398.html>.
7. Role of the Applicant(s): The role and responsibilities of each applicant involved in the project should be clearly described. A statement must also be included specifying how much time per week the applicant(s) will devote to the project. When considering the multiple PI option, please be specific about the structure and governance of the PI leadership team. Multiple PIs on a project share the authority and responsibility for leading and directing the project. Each PI is responsible and accountable to the grantee organization, or, as appropriate, to a collaborating organization, for the proper conduct of the program, including the submission of required reports.
8. Overall Objectives and Specific Aims (not to exceed one page): Applicant(s) must state the goals of the planning grant, describe concisely what the specific planning project is intended to accomplish, how it will be accomplished, and what are the expected long-term objectives of the endeavor. The problem area that the award would address should be clearly identified.
9. Project Plan (not to exceed 20 pages):

This section will consist of the following three topics: detailed description of the planning period activities, a plan for outcome assessment, and long-term future plan.

Planning Period Activities:

- Planning Activities - Specify how the planning period will be used. The application should include the specific aims for the planning period, and descriptions of the specific programs/activities to be carried out.
- Rationale/Significance - Provide the rationale for the proposed program under each aim, documenting the significance and potential impact of the programs on orthodontic education and educators.
- Approach – Under each specific aim, provide the detailed plans for each program/activity, including logistical arrangements and/or the format for the specific programs. Describe the composition and role of the key participants, committee, and organizations, including their credentials and the basis for their inclusion. Sufficient information should be provided to allow reviewers to evaluate how the specific programs/activities would be conducted during the planning periods.

- The application must address the availability of the program/activities to orthodontic educators and how widely the educators can benefit from the program.
- Investigators - The application must include a description of the leadership and proposed organization of the project. This includes the ability of the PI(s) to bring together the necessary co-participants, programs and needed expertise, and to organize appropriate workshops, symposia, etc, where planned. The application should describe the participants in the planning process, their roles in the development of the plan, and their prior experiences that make them suitable for their role in the implementation of the proposed program or activities.

Outcome Assessment:

- Describe how the outcome of the specific programs will be measured either under each specific aim or separately. Indicate potential problems/challenges during the initial planning period and how they will be addressed in the future program.

Future Plan:

- The future plan is a critical component of the EIA planning grant. Thus, the proposal must include the future plan for the subsequent year(s). Provide additional information for the three to five years following the initial planning period in as much detail as possible. Examples include expansion of the program/project, potential changes in key participants, potential budgetary changes, and contingency plans for future programs dependent on the outcome of the first year's program. Approval of the planning grant application does not constitute automatic approval for the future years. Funding for the future years will require full review by the AAOF PARC.

10. Timetable (not to exceed one page): A proposed timetable for the conduct of the project (s) must be included.
11. References (no page limitations): If applicable, all material cited in the application must be included under References.
12. Specific Appendix Materials (no page limitations): Support letters for the applicants must be provided by their department chairs. These letters must offer support for applicants and specify that the time necessary to conduct the project(s) will be made available to the applicants. Documentation of agreement from key participants is also required.

Additional Pertinent Information

1. 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 stapled only – no binders or covers.

2. Applicants are strongly encouraged to present their proposal for evaluation and critique to colleagues who are knowledgeable in the area of the 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.
3. Two (2) paper copies and one electronic of the proposal must be sent by the announced deadline to:

The American Association of Orthodontists Foundation
Attention: AAOF EVP
401 North Lindbergh
St. Louis, MO 63141-7816

4. Applications for this planning grant will be received through December 15, 2011. It is the applicant's responsibility to ensure that the application is received before the deadline. Applications received after 5:00 p.m. St. Louis time on December 15th 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 30th) for a previously funded project and any proposal from that individual's current institution.
5. Incomplete applications, or those whose format is not consistent with the prescribed application guidelines, will be returned without evaluation or comment.
6. 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.

Contact the AAOF at 800/424-2841, #546 for additional information.

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

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. 2011-7
- 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. 2011-8)
- 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) 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:

Applicant's Signature

Date

Submission Checklist Other Than Fellowships

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

- Name of Applicant: _____
- AAOF Cover page completed and signed
- Title Page
- Abstract
- Budget Justification – including additional sources of support for this project, if any
- Letter in support of Budget from institution if Budget includes salary support e.g.,
Department Chair or Program Director
- Biographical Sketches of each investigator
- Role of the Applicant
- Overall Objectives and Specific Aims
- Project Plan
- A separate statement, or a reference included within Project Plan, concerning
citizenship/foreign national status—see “Eligibility”/pg. 2011-13
- Letter in support of the Project Plan from appropriate institutional official, e.g., Department
Chair or Program Director
- Timetable
- References
- IRB application (pending or approved) if appropriate
- Application formatted according to the General Application Guidelines—see pg. 2010-8
- 10 paper copies of application that are stapled – not in a binder or cover
- Final review of application for readability and errors (preferably by experienced faculty
member)
- This checklist inserted behind cover page after completion
- I hereby state that, for the purposes of this Award (i.e., for a Biomedical Research 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:

Applicant's Signature

Date

**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 _____

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 \$ _____

Total \$ _____

Applicant's Address _____

City _____ State _____ Zip Code _____

Telephone _____ Fax _____

E-mail _____

Institution _____

Signature of Applicant _____

Date of Submission _____

Signature of Responsible Institution Official _____

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, 2012 through June 30, 2013.

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, 2012, 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, 2012, 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, 2013. An exception to this deadline may be granted in the case that the recipient has received, in writing, a no-cost extension (NCE) of the funding period. Extensions must be requested in writing and are subject to the approval of a reviewer.
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. (See 2012 - 37.) 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 OFDFA, 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 an 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
Attention: Executive Vice President
401 North Lindbergh Boulevard
St. Louis, MO 63141

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) 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

AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION

Letter of Agreement – General Award Agreement

(All Funding Categories, Except Fellowship Awards)

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 _____ Award (Award Category) for the period of July 1, 2012, through June 30, 2013.

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 the period stipulated in the original proposal. 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 Project as titled above, according to the budget submitted with the project proposal, which is duplicated below:

Research Personnel	\$ _____
Supplies	\$ _____

Equipment	\$ _____
Other Expense	\$ _____
Total Award	\$ _____

4. For Biomedical Research Awards one half of the total award will be provided by July 1, 2012, (upon the return of the completed Award Agreement and any necessary exhibits), and the second half funding will be provided by January 31, 2013, assuming acceptable progress is made (see Progress Report below). Regarding Center Awards, Program Awards, Research Aid Awards, and Educational Innovational Awards, the total award, if a one-year funding period, or the first year's funding, if a multiple-year funding period, will be provided by July 1, 2012, upon the return of the completed Award Agreement and any necessary exhibits. Subsequent funding, for multiple-year projects, will be sent in annual amounts, upon a Progress Report being submitted and approved.
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.
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 work on the project as soon as practical. If Recipient cannot begin the Project within the 12-month period beginning July 1, 2012, 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 required and due by December 15, 2012.
9. The requirement for a Progress Report may be waived for the EIA at the discretion of the AAOF.
10. All Progress Reports will be evaluated to determine whether or not the recipient is making acceptable progress on the project as proposed. If the recipient fails to submit a Progress Report by the stated deadline or if the AAOF determines that progress is unacceptable the recipient will be notified that the Award is terminated. The AAOF will have the sole discretion as to whether or not a Progress Report is

acceptable.

11. A Final Report is due at the end of the funding period for all AAOF Awards.
12. The deadline for receipt of all Final Reports is July 1, 2012. An exception to this deadline may be granted in the case that the recipient has received, in writing, an extension of the funding period and/or the funding period is longer than 12 months.
13. Unless an extension has been granted, if a recipient fails to submit a Final Report by December 15, 2012, the recipient will not be eligible to apply for any awards provided by the AAOF for a period of 1 year.
14. The Final Report form submitted to the AAOF may be downloaded from the AAOF web site at www.aaofoundation.net. (At the bottom of the "Awards" page, click on "Final Report Form"). A final itemized accounting of the use of the Award may also be requested at the discretion of the AAOF.
15. By accepting the Award, the AAOF receives permission from the Recipient to distribute Progress and Final Reports, as well as any attachments to either or both, 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 these reports in such a way as to address his/her concerns.

Acknowledgment of AAOF Support

16. 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

17. 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.

18. 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 _____

Communication

19. 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
 Attention: Executive Vice President
 401 North Lindbergh Boulevard
 St. Louis, MO 63141

If to Recipient: Name _____
 Street Address _____
 City _____
 State _____
 Zip Code _____

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

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

Other

21. 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.
22. This Agreement shall not be assignable by Recipient or the Institution without the consent of the Foundation, which consent shall not be unreasonably withheld.
23. 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.
24. 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.
25. Recipient(s) acknowledges that separately there has been sent electronically to the AAOF (aaofevp@aaortho.org) a black and white photograph of recipient(s) and a 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.
26. Furthermore, Recipient(s) acknowledge(s) that a hard copy of the aforementioned photograph and synopsis is attached herein.

IN WITNESS WHEREOF the parties hereto have caused this 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_____

**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

*AAO Foundation Awards
Progress Report*

1. Type of Award (Check One):
 Biomedical Research Award
 Orthodontic Faculty Development Fellowship Award
 Center Award
 Educational Innovation Award
 Program Award
 Research Aid Award
2. Name(s) of Principal Investigator(s): _____

3. Institution: _____
4. Period of AAOF support (e.g. 07-01-08 to 06-30-09): _____
5. Amount of AAOF Funding: _____
6. Signature: _____ Date: _____

PLEASE ADDRESS EACH CATEGORY SEPARATELY (single spaced)

1. **Specific Aims** (page 1)
List original specific aims.
2. **Studies and Results** (page 1 up to page 2 or 3)
Summarize which studies have already been conducted and results achieved, particularly in reference to specific aims (investigated hypothesis(es) and corresponding findings).
3. **Progress Report** (up to page 6)
Explain how research is proceeding relative to original timetable and contingency plans (any changes from original plan). Accordingly, what are the future plans to carry the project to its end. Supply specific statements on human or animal subjects.
 - A. Progress to date.
 - B. Plans for the next 6 months of support.
 - C. Subjects (detailed description of sample, including information gender and age).
 - D. Publications/presentations.
 - E. Listing of investigators, nature of involvement in research, and time allotted since beginning of research.
 - F. Percentage funding from AAOF and other sources; amount of grant funds already spent.

G. Request/justification for extension of present cycle: do the investigator(s) foresee a time extension for this project and why?

4. **Illustrations, addendum** (limit to 5 pages)

Return to the AAO Foundation by December 14, 2012
Fax: 314/993-5208

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.**