ORTHODONTICS IS MY PASSION...

“That’s why I support the AAOF.”
American Association of Orthodontists Foundation
Grant Application & Review Process

• Workshop Goals
• AAOF Goals & Achievements
• Award Types & Eligibility Criteria
• The 11 Step Plan
• Review Process and Criteria
• Your & Your Mentors’/Chair’s Roles in Ensuring Your Success
• Questions and Answers
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Goals of Workshop

• Share information on
  – Award categories & requirements
  – Review process, criteria and funding decisions

• Desired outcomes
  – Improved quality & completeness of applications
  – Improving your chances of success

• Ultimate goal
  – Improved discovery and education in orthodontics
  – Justification for seeking additional funds from AAOF and donors
AAOF Goals & Achievements

• Advance the orthodontic specialty by supporting education and research

• Since 1994
  – $10.1 million in funding primarily Junior faculty
  – 189 Fellowship Awards & 181 Research Awards

• Of 66 Department Chairs & 36 Program Directors, 31 were supported by AAOF

• 80% of junior faculty supported remain in full-time academics after 5 years

http://www.aaofoundation.net
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AAOF Award Mechanisms & Eligibility

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

• Support for Junior Faculty
  – Orthodontic Faculty Development Fellowship Award (OFDFA)
    • $20,000 (increased from $15,000) for one year
    • Junior full-time faculty (first 5 years in first appointment)
    • Only one proposal per orthodontic program
  – Postdoctoral Fellowship Award (PFA)
    • $50,000 per year for up to 3 years
    • Orthodontist / PhD (or equivalent)
    • For post-doc research training (lab or clinical)
    • High potential for significant future extramural (NIH) funding
    • Only one proposal per orthodontic program
  – Biomedical Research Award (BRA)
    • $30,000 (increased from $25,000) for one year
    • Junior full-time faculty (between 3 and 14 years in first appointment)
    • Multiple applications per orthodontic program permitted
AAOF Award Mechanisms & Eligibility

• Research Aid Award (RAA)
  – $5,000 per year for one year
  – Resident with commitment to part-time or full-time academic career
  – Or part-time (clinical) faculty at orthodontic program
  – Only one proposal per orthodontic program

• Center Award (CA)
  – $25,000 per year for up to 3 years
  – No seniority limit
  – To enhance collaborations within and between institutions
  – Four types

• Others
  – Education Innovation Award (EIA)
  – Program Award (PA) for support of workshops, symposia and lectures
  – Not offered in 2015
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 + PhD or equiv → PFA
- Certificate or MS ± PhD → OFDFA

Early to mid career 3 to 14 years

- Certificate or MS ± PhD → BRA

Part-time faculty

Certificate or MS ± PhD → RAA
Eleven Required Components

- Application cover sheet
- Table of Contents
- Title Page
- Documentation of Eligibility
- Previous AAOF Awards & Outcomes
- Budget & Budget Justification
- Biosketches
- Role of Applicant(s)
- Proposed Plan
- Letters of Support
- 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

• Award category & title of application

• All key personnel
  • Include biosketches for all named (see #7)

• Other information specific to Award type

• Brief statement (1-3 sentences)
  • Relevance of proposal to
    – Clinical orthodontics
    – Orthodontic education
  • Use non-technical language
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 AAOF Awards & Outcomes

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

- Important outcome measure for AAOF and donors

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**Previous AAOF Awards and Outcomes**

<table>
<thead>
<tr>
<th>Role in Project</th>
<th>Amount of Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

**Outcomes:**
- Cite describe any:
  1. Publications
  2. Presentations (organization, location, date)
  3. Follow-up grants or awards

Repeat the above, as appropriate to provide a complete history of AAOF award funding.
Required Component #6
Budget and 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 and 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 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

• Abstract (≤ 1 page)

• Project Plan(s)
  • Differences in page limit and content for different Award types

• Timetable (≤ 1 page)

• References (no page limit)
  • Include all cited materials
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
    • ≤3 authored by applicant
    • Directly relevant to application
Specifics of Project Plans for OFDFA & PFA

• Page limits
  – OFDFA ≤6 pages
  – PFA ≤10 pages

• Provide information on four required areas for development
  • Educational programs & activities
  • Clinical skills enhancements
  • Teaching enhancements
  • Research project
  – OFDFA Can have one or more area of emphasis
  – PFA needs to have research as area of emphasis
  – Provide sufficient detail for evaluation
  – History/previous accomplishments ≠ Plans

• Key Advisors for each area
  – Identified
  – Should review and mentor on application prior to submission
  – Provide letter of support
Specifics of Letters of Support for OFDFA and PFA

• No page limits for three or more letters

• Should describe abilities/future potential, qualifications re: goals of OFDFA

• Principal advisor(s)/mentor(s), Co-I(s), Consultant(s)
  – Individuals named on Title Page
  – Verify participation, plans for support

• Institutional official
  – Verify support of/resources for OFDFA plans

• Chair
  • Verify eligibility, support & time
  • Confirm appointment as FT faculty as of July 1 of funding period
Other Information About OFDFA and PFA

• One proposal in each category per orthodontics 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
Specifics of Project Plan for BRA & RAA

• Page limits
  – ≤ 10 pages for BRA
  – ≤ 5 pages for RAA
• Background & Significance
• Preliminary Studies
• Experimental Design and Methods and Statistical Analyses
• Expected Outcomes
• Alternative Approaches
  – What if outcomes are not as expected?
  – How to trouble-shoot
  – Demonstrate that all aspects been considered
Specifics of Letters of Support for BRA & RAA

• No page limits

• Co-I(s), Consultant(s)
  – Individuals named on Title Page
  – Verify participation, plans for support

• Institutional official
  – Verify support of/resources for BRA plans

• Chairs letter for BRA
  – Verify eligibility, support & time
  – Confirm year 3-14 as FT faculty as of July 1 of funding period

• Chairs letter for RAA
  – Evidence of resident’s strong interest in a future academic career
  – Verify support for applicant & time remaining in residency program to complete the project
Other Information About BRA

• Investigator-initiated research
  – Orthodontics and CF biology
  – Expected to lead to
    • Publications
    • Preliminary data: external grant applications (e.g. NIH)
  – Scientific merit emphasized

• No limit on number 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
Other Information of Center Award

• Four types
  – Establishing a “center” of investigation
  – Supporting an established “center” of investigation
  – Support of special collections & databases
  – 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
- Applies for funding & performs proposed activities
- Agrees to Terms
- Provide progress & final reports

AAOF Executive VP and Staff
- All administrative aspects of AAOF Fund Raising and 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 and approaches
- Undertakes fund raising
- Makes decisions on recommendations made by PARC

PARC: Planning and Awards Review Committee
BOD: Board of Directors
The Process Flow

• AAOF Executive VP and Staff
  – AAOF Awards materials issued
  – Receives all applications
  – Reviewed by AAOF staff for meeting deadline, eligibility and completeness
  – Incomplete, ineligible or late applications triaged

• PARC
  – Chair assigns applications to PARC members generally based on area(s) of expertise
  – Applications scored by specific scoring criteria
  – Written reviews and preliminary overall impact scores (scale of 1 to 9)
  – Additional reviewers sought when scores vary by more than 2 points
  – PARC meeting- reviews presented with preliminary scores and discussed; final scores provided by all reviewers; final scores by all PARC members; average final score plus review collated
  – Funding recommendations made on basis of funding available and quality of applications
  – Makes funding recommendations to AAOF BOD

• AAOF BOD makes final funding decisions

• AAOF Executive VP communicates funding decision and grant critique
Review Criteria

• Overall Impact
  – Scale of 1 to 9
  – Based on following criteria

• Scored Review Criteria
  – Significance
  – Investigator(s)
  – Innovation
  – Approach
  – Environment including mentors & resources

• Strengths and Weaknesses (major, moderate, minor)

• Additional Review Criteria
  – Human or Animal Research Approval Status
  – Budget
    • Appropriate & justified
    • Ineligible requests
## 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>
</tr>
</tbody>
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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?

• 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

• 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?

• 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 and 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

• 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
  – Do we have to look everywhere to dig up the needed information? Place content where it should be

• Think outside the box
Awards & Changes in 2015

• Award Types for 2015
  – Junior Faculty
    • OFDFA
    • PFA
    • BRA
  – Center Award
  – Research Aid Award

• Increased funding levels
  – OFDFA $20,000
  – BRA $30,000
The Future

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

• Continue enhancing quality of review and feedback

• Move to fully electronic submissions
Thank You
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