

# **AAOF Awards Application Workshop: Guide to the 2020 Cycle for Applicants & Mentors**

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**Saturday, May 4  
11:15 a.m. - 1:15 p.m.  
LACC – 407**

**<https://www.aaofoundation.net>**



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# Guide to the 2020 Cycle for Applicants & Mentors

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



# Workshop Goals

- **Share information on**
  - Award categories & requirements
  - Review process, criteria & funding decisions
- **Improve**
  - Quality & completeness of applications
  - Chances of your success
  - Discovery & education in Orthodontics
  - Justification for fund-raising efforts of AAOF

# Mission & Achievements

## Mission:

- To advance the orthodontic specialty by supporting quality education and research that leads to excellence in patient care

## Since 1994:

- The AAOF has funded over **500** fellowship and research awards totaling **\$13.1 million**
- 76% of faculty supported by AAOF awards remain in full-time academics after 5 years

In 2019, the foundation received **57** proposals and approved **33** for funding



# NEW for the 2020 cycle

- **PARC: increase to n=9 members**
  - Welcome: Sath Allareddy & Wellington Rody
- **Awards Budget Guidelines**
  - Increased clarity re: budget, justification
    - Awardees must follow approved budget
    - Re-budgeting request (form): for extenuating circumstances
    - Faculty Salaries OFDFA (formatting)

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# Award Types & Eligibility Criteria

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

# Application Submission

- Two copies
- Both mailed to AAOF
  - One paper copy
  - An electronic copy on a thumb drive/flashkey
- Both identical copies to be received by November 15, 2019



# Award Types & Eligibility Criteria: Junior Faculty

- Orthodontic Faculty Development Fellowship (OFDFA)
  - ≤\$20,000 for one year
  - Full-time faculty ≤5 years in 1<sup>st</sup> appointment
  - Two proposals per orthodontic program
- Postdoctoral Fellowship (PFA)
  - ≤\$50,000 per year for 2 years (with 3rd year possible)
  - Orthodontist with PhD (or equivalent)
  - For post-doc research training (lab or clinical)
  - High potential for future extramural (NIH) funding
  - Only one proposal per orthodontic program

# Award Types & Eligibility

## Criteria: Experienced Faculty

- Biomedical Research Award (BRA)
  - ≤\$30,000 for one year
  - Full-time faculty for ≥3 years
  - Any rank
  - Multiple applications per orthodontic program permitted

# Award Types & Eligibility Criteria

- **Research Aid Award (RAA)**

- ≤\$5,000 per year for one year
- Criteria
  - Resident committed to part-time/full-time academic career
    - Letter of support should state academic interest
  - Part-time orthodontic faculty
- ≤Two proposals per orthodontic program

- **Center Award (CA)**

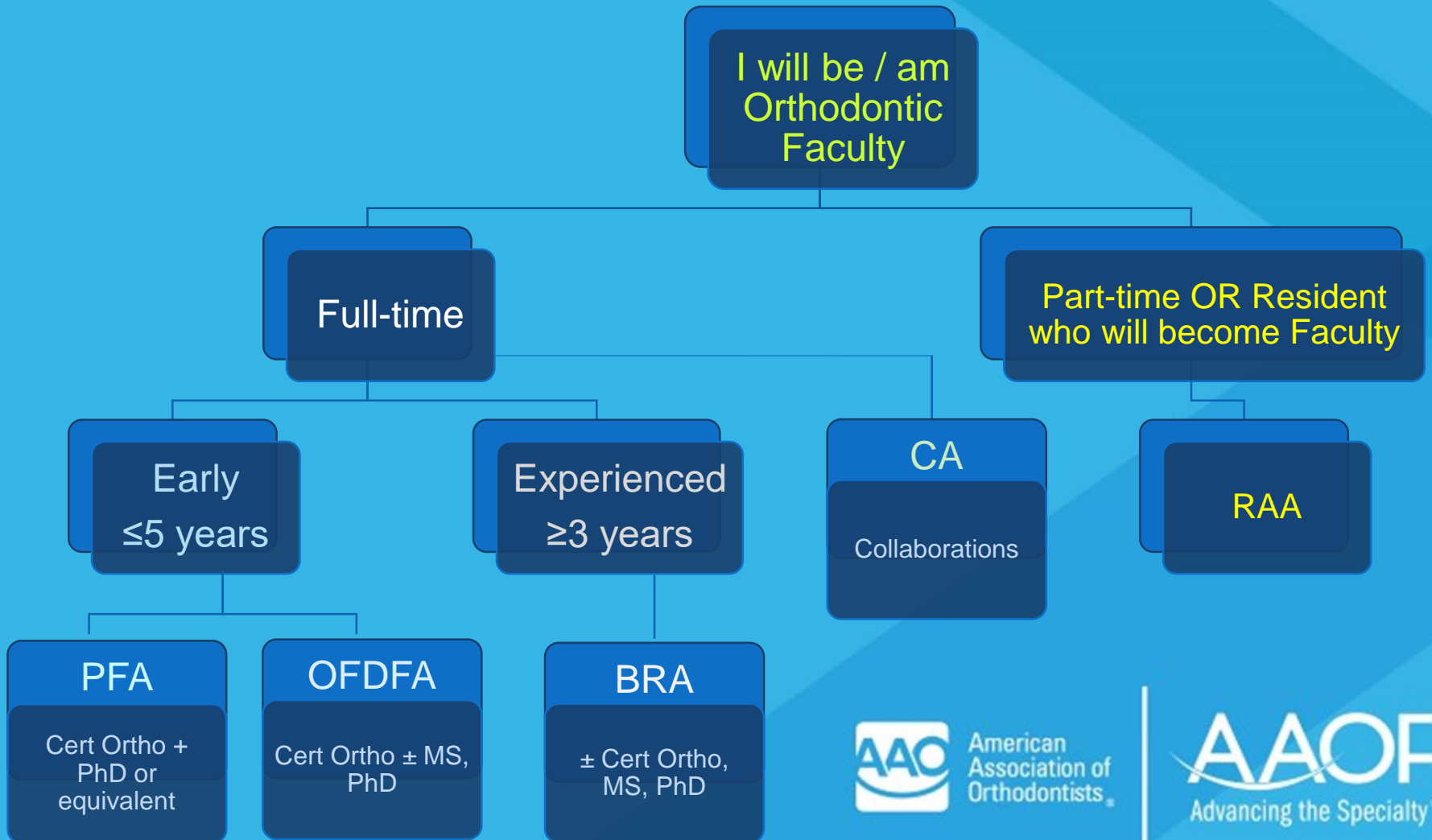
- ≤\$25,000 per year for up to 3 years
- No seniority limit
- To enhance collaborations within and between institutions
- Four types



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# Decision Tree: Selecting correct award category



# Questions?



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# 11 Required Components

1. Application cover sheet
2. Table of contents
3. Title page
4. Documentation of eligibility
5. Previous AAOF awards & outcomes
  - Resubmissions only: Copy of previous AAOF review
6. Budget & budget justification
7. Biosketches
8. Role of applicant(s)
9. Proposed Plan
  - Resubmissions only: Introduction Page
10. Letters of Support
11. Appendix

Yellow font: same  
for all categories



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# Required component #1

## Application cover sheet

**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 \_\_\_\_\_

- 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

Applicant Name (Last, First): \_\_\_\_\_

---

**AMERICAN ASSOCIATION OF ORTHODONTISTS FOUNDATION  
AWARD APPLICATION  
TABLE OF CONTENTS**

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

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**CHECKLIST**

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

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

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Applicant's Signature \_\_\_\_\_ Date \_\_\_\_\_

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



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# Required component #3

## Title page

- 1-page maximum, include
  - Award category
  - Title of application
  - Key personnel
    - Include biosketches for all named (see #7)
- Other award-specific information
- Statement (1-3 sentences)
  - Relevance of proposal to
    - Clinical orthodontics
    - Orthodontic education
  - Non-technical language

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

- Category of award:** Orthodontic Faculty Development Fellowship
- Applicant:** O. T. Mover, DDS, MS, PhD
- Principal advisor and mentor:**
  - Principal advisor:**  
Q. B. Fox, DDS, MSc, PhD  
Professor, Department of Orthodontics & Dentofacial Orthopedics  
Tops University, School of Dentistry
  - Mentor:**  
V. F. Helper, DMD, EdD  
Associate Dean for Student Services  
Professor, Department of Public Health  
Tops University, School of Dentistry
- Developmental Plan** (give relative % to be devoted to each category so total is 100%):
  - Educational** 20%
  - Research** 50%
    - Title:** The Biology of Tooth Movement Revisited
    - A brief statement (one-three sentences) using non-technical language describing the relevance of the proposal to clinical orthodontics and/or orthodontic education
  - Teaching** 20%
  - Clinical skills** 10%

# Required component #4

## Documentation of eligibility

Applicant Name (Last, First): \_\_\_\_\_

DOCUMENTATION OF ELIGIBILITY				
<b>Citizenship:</b>	<b>Foreign National Status</b> (if not a US or Canadian citizen):			
<b>Current Academic Rank:</b> (For BRA, CA, EIA)	<b>Current Academic Status:</b> (For OFDFA/PFA/RAA)			
	Check all that apply	Name of Program or Institution	Year in Program	Anticipated completion date
	Resident			
	MS candidate			
	PhD candidate			
	Post-doc*			
<b>Years as Faculty:</b> Full-time Part-time	<b>Start Date of Academic Career:</b>  _____ Month _____ Year			
<b>Location(s) where award activities will take place (name and address of each Institution / Program participating)</b>          				
<b>Institutional Official who verifies the above information as correct</b>   <div style="text-align: center;">             _____              Name           </div> <div style="text-align: center;">             _____              Position           </div> <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;">             _____              Signature           </div> <div style="text-align: center;">             _____              Date           </div> </div>				
*PFA applicants must clearly indicate in Biosketch that are dentists with specialty training in orthodontics obtained in an ADA or CDA accredited program and hold a doctorate (PhD, DMSc or equivalent) degree.				

- Citizenship, Foreign National Status
- Current academic rank & years
- Location(s) of activities
- 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

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

# Required Component #5

## Previous AAOF Awards & Outcomes

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

### *AAOF PARC Review Template (2017)*

*Principal Investigator(s):* \_\_\_\_\_

Mechanism: OFDFA \_\_\_\_\_ BRA \_\_\_\_\_ EIA \_\_\_\_\_ Other (specify) \_\_\_\_\_

Institution: \_\_\_\_\_

Citizenship status: Verified \_\_\_\_\_ Y \_\_\_\_\_ N Eligible \_\_\_\_\_ Y \_\_\_\_\_ N

Chairs/Institutional support letter: \_\_\_\_\_ Y \_\_\_\_\_ N

#### **Overall Impact**

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

#### Overall Impact

Strengths

•

Weaknesses

•

#### **Scored Review Criteria**

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

#### 1. Significance

Strengths

•

Weaknesses

•

# Required Component #6

## Budget & budget justification

- All eligible expenses only
  - Itemized list
  - Justification: why needed
- Follow guidelines – especially re: what is allowed ( $\pm$  salaries) and limits (travel)
- If other funds are planned to complete proposal, identify
  - What parts will be funded by AAOF/other funds
  - Source of other funds (agency, amount)

# Required Component #6

## Budget & budget justification

- Fellowships only – if requesting stipend/salary
  - Describe alternative funds (sources, amounts) for proposed plans
- Reviewers assess
  - Appropriateness for proposed activities
  - Completeness
  - Reasonable cost estimates
  - If not in budget, are essential equipment, supplies, resources available to perform studies/plans
  - Help out: provide information

# Required Component #7

## Biosketches

- Required for all individuals named on Title Page
- ≤4 pages
  - Personal Statement
  - Positions and Honors
  - Contribution to Science
  - Research support
    - Ongoing
    - Past 3 years

OMB No. 0925-0001 and 0925-0002 (Rev. 09/17 Approved Through 03/31/2020)

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME: \_\_\_\_\_

eRA COMMONS USER NAME (credential, e.g., agency login): \_\_\_\_\_

POSITION TITLE: \_\_\_\_\_

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

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY

A. Personal Statement

B. Positions and Honors

C. Contributions to Science

D. Research Support (on-going and within past 3 years) and/or Scholastic Performance



# Required component #8

## Roles of Applicant(s)

- ≤1 page
- Include all individuals named on Title Page
  - Role(s)
  - Responsibilities
  - % effort
- Follow award-specific instructions, e.g.
  - OFDFA mentor/advisor(s)
    - Role/s
    - Plans for meetings with applicant
    - Skills, background





# Required Component #9

## Proposed Plan

1. Abstract ( $\leq 1$  page)
2. Project Plans(s)
  - Different page limits & content for different award types
  - Resubmissions only: Introduction page (see next)
3. Timetable ( $\leq 1$  page)
4. References (no page limit)
  - Include all cited materials

# Resubmission Applications: #9-2 Introduction Page

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

# Resubmission Applications: #9-2 Introduction Page

- 1 page maximum
- Summarizes:
  - Substantial additions, deletions, & changes to the previous application
- Includes:
  - Responses to all of the “weaknesses” provided in the six sections of the critique

# Required component #10

## Letters of Support

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

# Required component #11

## Appendix

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

# Questions?



<https://www.aaofoundation.net>



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# OFDFA & PFA: Specifics

- Project Plans - Page limits
  - OFDFA  $\leq 6$  pages
  - PFA  $\leq 10$  pages
- 4 Developmental Plans:
  - Required (programs, activities)
    1. Educational
    2. Clinical skills
    3. Teaching skills
    4. Research



# OFDFA & PFA: Specifics

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



# OFDFA & PFA: Specifics

- Project Plans – Areas of emphasis
  - OFDFA: 1 or more
  - PFA: Research must be focus
- Provide
  - Sufficient detail for evaluation
  - Note: History/previous accomplishments ≠ Plans
- Key Advisors for each Developmental Plan
  - Should review, mentor on application prior to submission
  - Provide letter of support

# OFDFA & PFA: Other Info

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

# OFDFA & PFA: Other Info

- “Stipend” for salary support
  - Allowed by the AAOF for OFDFA & PFA only
  - Note: Some institutions will not allow additional income as “salary”
    - Other options if this is not allowed by your institution
      - Separate LOAs for institution AND PI
        - Need institutional official to sign both LOAs
        - IF not possible, suggest re-designing budget & justifications

# BRA & RAA: Specifics

- Project Plans

- Page limits
  - $\leq 10$  pages for BRA
  - $\leq 5$  pages for RAA
- Background & Significance
- Preliminary Studies
- Experimental Design, Methods & Statistical Analyses
- Expected Outcomes
- Alternative Approaches
  - What if outcomes are not as expected?
  - How to trouble-shoot
  - Demonstrate that all aspects been considered



# BRA & RAA : Specifics

- Letters of Support -Page limits: None
- Individuals named on Title Page
  - Co-I(s), Consultant(s): Verify participation, plans for support
- Institutional official
  - Verify support of/resources for Project Plan
- Chair - Verify eligibility, support & time
  - BRA: Confirm  $\geq 3$  yrs as FT faculty as of July 1 of funding period
  - RAA
    - Resident:
      - Highlight strong interest in a future academic career
      - Time to complete project while in program
    - PT faculty

# BRA: Other Info

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

# Center Award

- Four types – support for
  1. Establishing a “center” of investigation
  2. Established “center” of investigation
  3. Special collections & databases
  4. 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

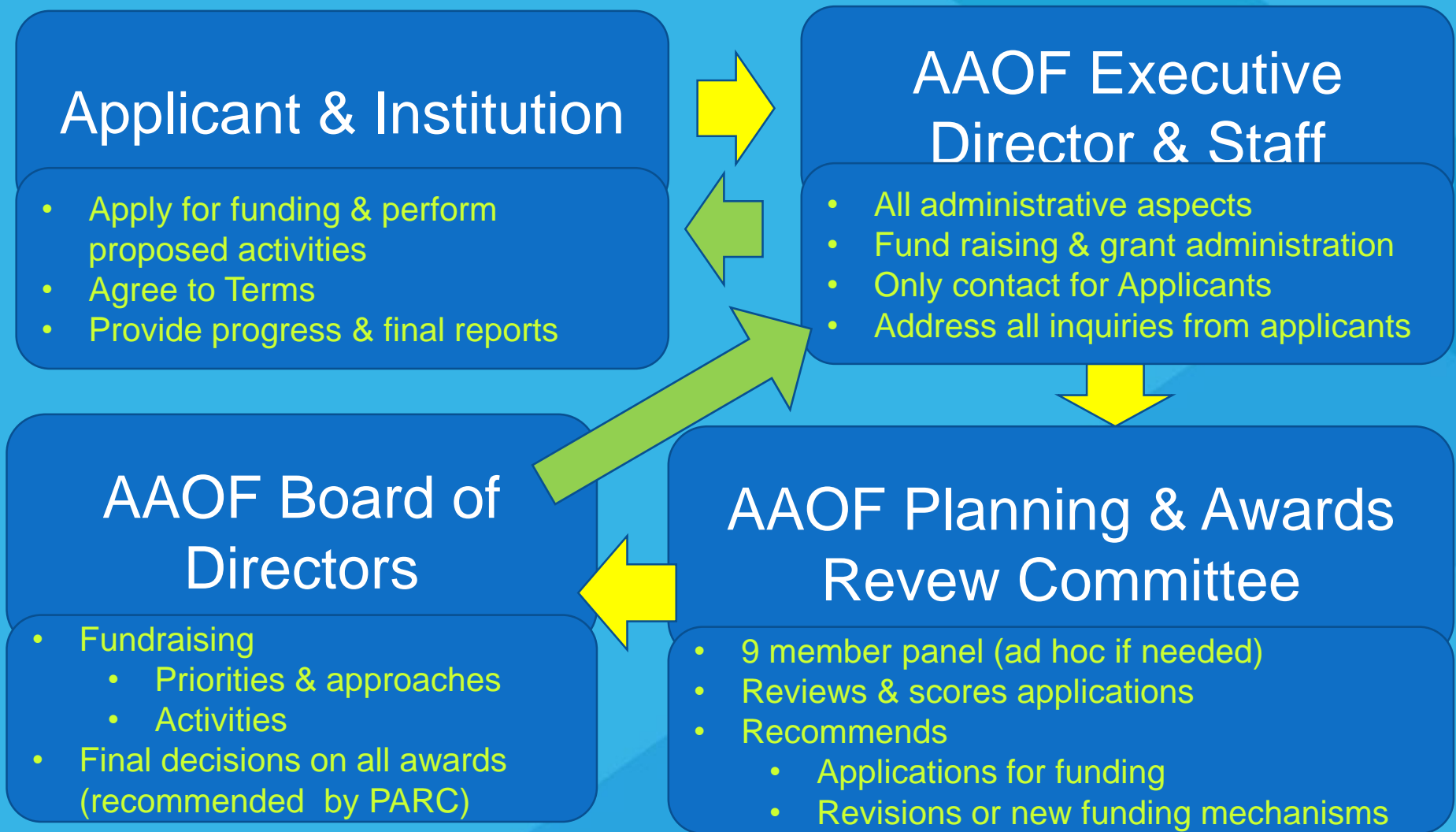
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# Application, Review & Funding Processes



# Process Flow

- **AAOF Executive Director & Staff**

- AAOF Awards materials issued
- Receives all applications
- Reviews for meeting deadline, eligibility and completeness
- Incomplete, ineligible or late applications triaged

- **PARC**

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

- **AAOF BOD makes final funding decisions**

- **Applicant receives;**

- Funding decision
- Critique



# Review Criteria

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



# Scoring Scale & Guidelines

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

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# Where Do Applicants Trip Up

- **Quality of application**

- How strong is it in each of the criteria?
- Is it proposing novel ideas and approaches?
- Does the application test a hypothesis?

- **Formatting & completeness of application**

- Did you submit by the deadline?
- Did you follow the instructions diligently?
- Are all required materials included?
- **If reworking a previous non-AAOF application –re-format to the AAOF guidelines**

- **Award category**

- Are you eligible for the category for which you have applied?
- Is this the category in which you are most competitive?





# Where Do Applicants Trip Up

- **Mentorship & Consultants**

- If grant is poorly compiled or question is weak or dated, it reflects on potential for inadequate or weak mentorship
- Seek strong, relevant mentors
- Seek input early and often

- **Accomplishments from prior funding**

- Did you achieve the goals of your previous funding?
- Have you filed your reports with AAOF?

# Best Practices

- Start 6 months prior to submission
- Awards Materials typically posted by July 1
  - [www.aaofoundation.net](http://www.aaofoundation.net)
- Research
  - Define excellent & novel questions and experimental design, contemporary methodologies
  - Provide any preliminary data to support your ideas
- For career development
  - Seek out newer approaches to designing curriculum and teaching methods
  - Take relevant courses, workshops and classes

# Best Practices

- **Mentorship**

- Strong, supportive and dedicated mentorship in research, teaching and career development

- **Application Refinements**

- Present and discuss your proposals with your mentors and consultants frequently, have them read/revise them

- **Have you done all your own work?**

- Complete well organized proposal
- Attention to detail
- Make it easy for the reviewers
- Will reviewers have to search for needed information?
  - Place content where it should be

# Awards Types for 2020

- Junior Faculty
  - OFDFA
  - PFA
- BRA
  - $\geq 3$  years of full-time academics
- Center Award
- Research Aid Award

# Awards Not Offered in 2020

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



# The Future

- Continue building on
  - Quality of applications
  - Discoveries in orthodontics
  - Faculty development successes
  - New processes for identifying Calls for Proposals
- Continue enhancing quality of review and feedback
- Implementation of AAOF Strategic Plan

# Questions?

Visit the AAO Foundation Booth in the  
AAO Pavilion (Exhibit 1601)



Jackie Bode



Mindy Copp



Cheryl Young

For more information after the meeting contact:

Jackie Bode, MA, CFRE  
AAOF Executive Director  
[jbode@aaortho.org](mailto:jbode@aaortho.org)  
800.424.2841 (#546)



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