

THE DOCTORS COMPANY FOUNDATION



THE DOCTORS COMPANY
FOUNDATION/AAO-HNSF RESIDENT
RESEARCH GRANT



GRANT POLICIES

A. PURPOSE

The purpose of this award, which is sponsored by The Doctors Company Foundation, is to stimulate original resident research in otolaryngology to reduce risk and improve patient safety.

B. ELIGIBILITY

Any resident of an accredited otolaryngology-head and neck surgery training program in the U.S. or Canada is eligible to apply for The Doctors Company Foundation/AAO-HNSF Resident Research Grant. All applicants must be members in good standing of AAO-HNS.

C. CONDITIONS

Proposed projects may be related to any area of otolaryngology, but must include a component that will reduce risk and improve patient safety. Proposed projects shall be designed in collaboration with a preceptor investigator and approved by the candidate's department chairperson and institution. The results of the supported investigation must be presented at the closest AAO-HNS Foundation Annual Meeting immediately following the award. The recipient(s) shall be free to publish the results afterwards, but the Foundation shall have the right of first refusal for publication in its journal, *Otolaryngology-Head and Neck Surgery*. Any presentation or publication of results supported by this award shall acknowledge the contribution of The Doctors Company Foundation/AAO-HNSF Resident Research Grant. Applications must be accompanied by a letter of support from the applicant's Department Chair verifying that the applicant will be permitted to devote an appropriate amount of time to the conduct and timely completion of the proposed research project. Resident applicants must also work with a faculty member (Preceptor) designated as a co-investigator. A letter of support must also be obtained from the co-investigator (Preceptor). Applicants must obtain letters of support/understanding from all key personnel on the project. Projects which are clinical trials of unproven drugs or devices are outside the areas of Foundation interest for purposes of resident research grants.

D. TERMS

1. **Amount:** \$10,000 maximum
2. **Period:** 12 months, non-renewable
3. **Funding:** One will be awarded annually from 2012 to 2016
4. **Use of Funds:** Award funds may be used for any legitimate costs associated with the purpose of the Award, other than salary support for the Principal Investigator. A detailed budget and budget justification constitute part of the application and will be evaluated as an important factor in the review process. If university policy stipulates that a portion of this very modest award must go toward institutional indirect costs, no more than ten percent (10%) of the total costs may be applied for indirect costs.

Allowable expenses include consultant fees (e.g., statistician, methodologist); salary support for research assistants or other supporting personnel; computer software or hardware; computer database access fees; and expenses related to presentation or publication of results. Equipment and supplies purchased with this Award become the property of the recipient institution.

5. **Notification:** Letters of notification will be sent in June of the award year. Please do not call the office prior to this time to inquire about results.
6. **Starting Date:** The recipient(s) of The Doctors Company Foundation/AAO-HNSF Resident Research Grant will be announced publicly at the closest AAO-HNS Foundation Annual Meeting immediately



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following the award. The award may be activated as early as July 1 of the year of award, but no later than January 1 of the following year.

E. FORMAT

Applications are in a similar format to the National Institutes of Health. All applications must be completed and submitted online through Proposal Central at <https://proposalcentral.altum.com>. The final page of this document includes a general outline of what will be required.

F. SIGNATURES

The Principal Investigator, Department Chairman, and Institution official are required to sign the original grant application (all signatures must appear). The Doctors Company Foundation/AAO-HNSF Resident Research Grant is legally awarded to the institution with which the Principal Investigator is affiliated, *not to the investigator or his/her Division or Department*. For this reason, it is very important that applicants comply with their home institution's policies on pre-submission processing of grant applications. This can take time, so it is wise to plan ahead, allowing adequate time for processing and approvals. Applicants are advised to consult their institution's offices of research administration or sponsored projects for information on processing requirements for an application prior to its submission.

G. APPROVALS

Foundation grants are legally awarded to the institution with which the Principal Investigator is affiliated, unless the individual is an independent practitioner. For this reason, it is very important that applicants comply with their home institutions' policies with regard to pre-submission processing of grant applications. This can take time, so it is wise to plan ahead, allowing adequate time for processing and approvals. Applicants are advised to consult their institutions' offices of research administration or sponsored projects for information on processing requirements for an application prior to its submission. If the proposed research involved human subjects, the project must be reviewed and approved by an institutional review board (IRB). This approval must be submitted with the application. Independent practitioners must also submit evidence of a review by an institutional or non-institutional review board with the application. If IRB approval -- when applicable -- is unavoidably delayed, enter "pending" instead of the date and send a follow-up certification of approval signed by an official of the application institution within 30 days after the January application receipt date. Grant applications that are not IRB-approved will not be reviewed or considered further in that grant cycle. Any changes in the proposed work required by an IRB to secure approval must be submitted to the Foundation with the follow-up certification, prior to review or after the work is in progress.

H. LETTER OF INTENT

All applicants must submit a Letter of Intent online no later than midnight Eastern Standard Time December 15. The letter of intent includes the title of the project, the principal investigator, and an abstract of the work. This will facilitate planning review requirements. See the proposalCENTRAL website (<https://proposalcentral.altum.com>) to begin the letter of intent process.

I. RECEIPT DATE

Allow yourself enough time to have the appropriate individuals review your application. Once your application is complete, print your cover page and have all of the necessary individuals sign. Keep in mind that it may take a few days to obtain all of the necessary signatures. The CORE grants program is paperless, so no hard copies of the signature page are to be mailed. Once all signatures have been obtained, you should scan the document and upload the .pdf to the system and retain the original for your files if needed. Once the signature page has been uploaded, run the checks within the system and click 'SUBMIT.' You will receive a confirmation email indicating that your proposal has officially been submitted.

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ALL materials must be submitted online by midnight, Eastern Standard Time, January 16, 2012.

J. FOLLOW-UP

In carrying out its stewardship of research programs, the Doctors Company Foundation or AAO-HNSF may request information essential to an assessment of the effectiveness of this program. Accordingly, the recipient is hereby notified that s/he may be contacted after the completion of the award for periodic updates on various aspects of employment history, publications, support from research grants or contracts, honors and awards, professional activities, and other information helpful in evaluating the impact of the program.

K. REPORTING REQUIREMENTS

The grantee must submit an interim progress report to the Foundation at the end of the first year of the award. The Grantee is also required to submit a final progress report thirty (30) days after the close of the project period, and a financial status report within ninety (90) days after the close of the grant period. While no verbal presentations or publications are required to result from this Award, any which do shall acknowledge the contribution of this source of funding. Recipients of the Award may be invited to present the results of their work at meetings of the American Neurotology Society and/or American Academy of Otolaryngology-Head and Neck Surgery Foundation. The Award recipient is encouraged to use the results of the research program as pilot data for the development of an application for a Clinical Investigator Award from National Institutes of Health.

For more information contact Stephanie L. Jones, Assistant Director, Research & Quality AAO-HNSF sljones@entnet.org or 703-535-3747.

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GRANT CHECK LIST

Visit <https://proposalcentral.altum.com>

TIP: When completing the LOI and Application, be sure to save each page before selecting 'Next.'

I. CREATE/UPDATE PROFESSIONAL PROFILE

- Contact Information
- Degrees
- Research Interests
- Personal Data for Application
- Biosketch
- Enable others to access your profile
- Account information (link to existing or create Institutional Profile)

II. CREATE LETTER OF INTENT (LOI)

- 1) Project Title *(Do not exceed 80 characters)*
- 2) Grant access to key personnel from your institution
- 3) Applicant/PI *(Pre-populated from your Professional Profile)*
- 4) Institution & Contacts *(Pre-populated from your Professional Profile)*
- 5) Abstract *(2,000 characters max, including spaces. Text only. No special characters or formatting)*
- 6) Select key words to describe your project *(this assist us with selecting appropriate reviewers)*
- 7) Validate that everything has been completed for the LOI
- 8) Submit. Receive confirmation email entitled 'LOI to American Academy of Otolaryngology has been Submitted'

SUBMIT LOI BY DECEMBER 15, 2011

III. COMPLETE APPLICATION

1. Receive email entitled 'LOI to American Academy of Otolaryngology has been Approved.' This is your signal that you can begin the on-line application.
2. Title Page *Some information pre-populated from the LOI*
 - a. Is this a resubmitted application from a previous year? If yes, explain what has been changed.
 - b. Other sources of funding? If yes, identify sources.
 - c. Total amount being requested for the entire project?
 - d. Proposed start and stop dates
3. Download Instructions and Templates to help guide you through the application process
4. Enable other users to access the application
5. Applicant/PI *Most information pre-populated from Professional Profile*
 - a. % effort proposed for PI on this project.
6. Institution & Contacts *Some information pre-populated from Institutional profile*
 - a. Email for Signing Official
 - b. Email for Financial Officer
 - c. Email for Department Head
7. Key Personnel
8. Abstract *Already completed as part of the LOI*
9. Assurances & Certifications (use of Human Subjects, Vertebrate Animals or involvement of Recombinant DNA?)
10. Research Strategy
 - a. Research Strategy not to exceed 6-pages
 - i. Significance
 - ii. Innovation
 - iii. Approach
 - b. Budget & Budget Justification not to exceed 4-pages
 - c. PI Biosketch
 - d. Resources & Environment
 - e. Abstract
 - f. Department Head Letter
 - g. Other support (letters of support from all key personnel)
11. PI Private and Demographic Info *Pre-populated from Professional Profile*
12. Print Grant Cover Sheet and have it signed by the appropriate signing officials and upload the signed signature page to the application
13. Run checks within the system to ensure the application is complete
14. Click 'SUBMIT'

SUBMIT APPLICATION BY JANUARY 16, 2012