

REQUEST FOR PROPOSALS AND GUIDELINES
(Revised September 2009)

RENEWAL:
THE UNIVERSITY OF TENNESSEE COLLEGE OF DENTISTRY
ALUMNI ENDOWMENT FUND

The University of Tennessee College of Dentistry seeks proposals from faculty and students for funding to support clinical research and professional development within the College. This request announces a semi-annual competition with application deadlines falling on the last Friday in April and October. Additionally, this document describes the Administrative Provisions of the Alumni Endowment Fund, providing guidelines for the administration of disbursements from the Fund.

BACKGROUND & DESCRIPTION OF AWARDS

RENEWAL: The University of Tennessee College of Dentistry Alumni Endowment Fund is the result of a nation-wide campaign that raised over one million dollars from alumni, faculty and friends of the College in support of clinical research and professional development.

Income from the Renewal Fund has been available since 1988 to fund projects and programs up to a maximum of \$15,000 (Category I Awards). Projects selected for funding contributed to enhancing the educational environment for students and faculty, and to promoting new knowledge, techniques, and materials to improve the ability of dental practitioners to deliver quality dental care. At its July 1991 meeting, the Board of Trustees of the Alumni Association approved a proposal to establish a new award (Category II Award) designed to help new investigators in attaining new research skills. Up to 15% of available funds to a maximum of \$2500 per award may be available for support of Category II awards.

The number of awards will vary each cycle, depending on the quality of the applications and the level of available support. At this time, each grant is intended as a one-time award; no subsequent support should be expected, though subsequent support may be available. No limitation on the duration of the project is stated, but the applicant must present a proposed timetable within which they expect to complete the project. Extensions of time to complete funded projects may be granted when justified (see Timetable).

Applicants should understand that the award descriptions are broadly stated to provide both guidance and freedom to the applicant(s) in developing proposals. This announcement is intended to offer opportunities for enhancing research capabilities for individuals without prior research experience, as well as for those already recognized as accomplished researchers. A special emphasis will be placed on those research proposals that involve junior faculty and students.

RENEWAL OBJECTIVES:

The Administrative Provisions of the Alumni Endowment Fund identify five general objectives for support of clinical research and professional development. These include:

- A. Alumni Professional Development Grants
- B. Alumni Clinical Research Fellowships
- C. Alumni Clinical Research Grants
- D. Alumni Dental Scientist Awards
- E. Alumni Academic Enrichment Grants.

A. Alumni Professional Development – to establish and conduct an ongoing, structured system of educational opportunities for selected faculty designated to update existing skills and add new skills in contemporary teaching methodologies, to improve faculty and student relationships and to enhance scholarly activities through expansion of research and clinical skills.

Guidelines:

Grant support for these educational programs may provide: 1) funds for honorarium for visiting lectureships or clinicians, 2) supplement or provide payment or reimbursement for the cost of attending lectures, conferences, or continuing education courses to fill specific needs of departments and faculty consistent with the mission and purpose of the College, 3) travel to selected institutions to review existing teaching/clinical programs or procedures, and 4) purchase of selected academic resource materials.

Applications for grants of \$2500 or less may be submitted to the Committee of Faculty at any time for prompt review with a maximum of \$10,000 available per year.

Funding for travel cannot exceed University guidelines. Requests for grants over \$2500 should be submitted to the Committee of Faculty for biannual review on the same timetable as research grants.

A completed application must include:

- 1) an endorsement by the department chairman describing the expected benefits to the department as well as the individual(s); and that adequate time would be available for the applicant(s) to be away from normal duties,
- 2) complete budget (please consult College of Dentistry Grants & Clinical Research Coordinator to verify that budget is appropriate and all necessary costs are included), and
- 3) appropriate supporting material (course program, speaker's C.V., etc.). See Attachment A.

B. Alumni Clinical Research Fellowships – to allow exceptional postdoctoral students to pursue individual research or teaching projects, and to serve as an effective recruitment and training program for new faculty.

Guidelines:

Applicants must be postdoctoral students or new faculty (less than 2 years employment) of the College of Dentistry. Applications must follow the format listed on page 6 of this announcement.

C. Alumni Clinical Research Grants – to procure vital research equipment, to support the clinical and educational research by faculty members, and to support efforts by faculty, graduate students or

other interested students compete for research grants. For the purpose of this award, "clinical research" is defined as "research that may contribute knowledge to the dental profession and to the understanding of oral health and disease, as it relates ultimately to clinical practice."

Guidelines:

1. Category I Awards - a maximum of \$15,000 plus allowable travel and publication costs per award is available to all faculty and students of the College of Dentistry.

a) Clinical and Educational Research Grants - applications must follow the format listed in I. Format for Research Grants in this announcement.

b) Research Equipment Grants - applications must follow the format listed in I. Format for Research Grants with the following additions: 1) the budget page must completely describe the equipment to be purchased and provide one or more price quotes from suppliers, 2) the project plan (limited to 4 pages) must describe the nature of the research to be conducted with the equipment, state possible additional uses for the equipment not contained in the research plan, and address the benefit to the College of acquiring this equipment.

2. Category II Awards – a maximum of \$2,500 plus allowable travel and publication costs per award is available to faculty, students and residents of the College of Dentistry who meet the following criteria: 1) no advanced training in research, research methodologies or statistics, 2) never awarded a Category I Alumni Research Grant as the principal investigator, 3) never listed as an investigator on an extramurally-funded research project (except an L. G. Noel grant), and 4) have not received more than two previous Category II Awards. Before applying for a Category II Award, the applicant must identify a Research Advisor who has training and/or research experience in the area of proposed research. The responsibilities of the Research Advisor are as follows: 1) provide guidance and criticism in the development of the proposal, 2) assure that the methods, materials and research design are appropriate to answer the re-search question(s) proposed in the application, 3) assure the protocol described in the proposal is being executed in a proper and timely manner, 4) critique the analysis and interpretation of the data, 5) critique the final report, and 6) provided guidance in the preparation of a manuscript for publication and/or presentation and be listed as a co-author. Applications must follow the format listed on page 5 of this announcement, paying particular attention to specific requirements for Category II awards.

Travel and Publication Costs – may provide limited funds to defray the cost of publication of a research paper from a completed Alumni Clinical Research Grant, and may provide limited funds for travel to present a completed Alumni Clinical Research Grant paper to a recognized major dental organization or meeting. Funds for travel and/or publication costs should be included in the original grant budget but cannot be expended without approval from the Dean of the College. Requests for travel are limited to the lesser of 75% of the total reimbursable travel costs or \$1,000. Support of publication costs is limited to \$300. Applications to expend these funds should be submitted to the Dean's office and must contain a description of the proposed travel or publication costs, a copy of the previously funded grant application and the final report. The Dean of the College may refer the application to the *ad hoc* committee for review.

D. Alumni Dental Scientist Awards - to recruit and retain a new faculty member who has established a promising reputation in clinical research who can assist in generating a viable clinical research program for the College through consultation with other faculty.

Guidelines:

Applications must be submitted to the Dean of the College for review and approval. The Dean may seek advice or consultation from appropriate faculty, administrators or advisors during the review process. Approved applications will be referred to the Dean's Alumni Advisory Committee and the Alumni Board of Trustees for funding confirmation.

Applications must include: 1) current curriculum vitae and/or biographical sketch of the recommended individual, 2) a project plan identifying the projected short and long term objectives attributable to the funding of the award, 3) a concise, specific statement describing how the clinical research program of the Department and College will be enhanced by the granting of this award, and 4) a specific timetable for use of the funds and a fully-justified description of how the requested funds will be expended.

E. Alumni Academic Enrichment Grants - to allow for the enrichment of the overall educational environment of the College of Dentistry through visiting professorships, lectures, conferences, publications, etc.

Guidelines:

An individual, a department, or committee of the College may submit requests for grants that would benefit the College of Dentistry as a whole. Application procedure would follow the same format as (A) Alumni Professional Development Grants except that a chairman's endorsement is not required.

GUIDELINES FOR APPLICATION REVIEW

Award criteria will vary depending on the type of application but will generally include for Category I awards:

- A. The significance and originality of the goals and approaches;
- B. Feasibility of the project and adequacy of the design to answer the proposed questions;
- C. Value of the project in terms of training, knowledge, and useful application for the private practitioner;
- D. Experience and competence of the applicant(s);
- E. Adequacy of facilities;
- F. Provisions for protection of human subjects (including Institutional Review Board approval) if necessary;
- G. Appropriateness of the requested budget for the work proposed.

The award criteria for Category II awards will include:

- A. Qualifications of the Research Advisor to guide the applicant in the proposed research;
- B. Feasibility of the project and adequacy of the design to answer the proposed questions;
- C. Value of the project in terms of research training for the applicant;

- D. Provisions for protection of human subjects and animals (including Institutional Review Board approval) if necessary;
- E. Appropriateness and justification of the requested budget for the work proposed.

Although significant scientific merit remains the major criterion for an application to be recommended for funding, the review subcommittee will consider the limited experience of the applicant(s) in formulating its recommendations for funding of Category II awards.

An *ad hoc* committee of the University of Tennessee College of Dentistry Administrative Council, as established by the Dean of the College, will review applications relating to Renewal objectives B and C. This committee will have broad representation among the Departments and will consist of faculty members with clinical or research back-grounds and an ex-officio member from the Dean's Alumni Advisory Committee. Other faculty may be appointed to the *ad hoc* committee when necessary to ensure adequate evaluation of the applications.

Review of applications by the *ad hoc* committee will result in recommendations forwarded to the University of Tennessee College of Dentistry Administrative Council. The University of Tennessee College of Dentistry Administrative Council will then forward its recommendations for funding to the Dean's Alumni Advisory Committee, and then to the University of Tennessee, College of Dentistry Alumni Association's Board of Trustees for final recommendation to the Dean. During the consideration of proposals by the Dean's Alumni Advisory Committee, a member of the *ad hoc* committee will be present to provide continuity in the review process.

Applications not recommended for funding by the *ad hoc* committee and/or the Dean's Alumni Advisory Committee will be returned to the applicant with a critique that may contain guidance regarding suggestions for improvements to better the funding potential of the application at the next review cycle.

The Dean of the College will review Proposals related to Renewal objective D described in the guidelines

Proposals related to Renewal objectives A and E, which request less than \$2500, will be reviewed by the Committee of Faculty who will forward their recommendations to the University of Tennessee, College of Dentistry Administrative Council. The Administrative Council will then forward its recommendations for funding to the Dean of the College. The Dean will advise the Dean's Alumni Advisory Committee and the University of Tennessee, College of Dentistry Alumni Association's Board of Trustees of proposals funded. The Committee of Faculty will review proposals exceeding \$2500 and will forward their recommendations to the University of Tennessee, College of Dentistry Administrative Council. The University of Tennessee College of Dentistry Administrative Council will then forward its recommendations for funding to the Dean's Alumni Advisory Committee, and then to the University of Tennessee, College of Dentistry Alumni Association's Board of Trustees for final recommendation to the Dean.

Applications not recommended for funding by the Committee of Faculty and/or the Administrative Council will be returned to the applicant with a critique that may contain guidance regarding suggestions for improvements to better the funding potential of the application at the next review cycle.

Requests for funding of new projects may not be made from the floor at a General Alumni Board Meeting, but must originate according to the Guidelines describe herein.

The College will develop an annual report of programs and activities sponsored by the Endowment, as described in the Administrative Provisions. When requested by the Dean's Alumni Advisory Committee and approved by the Alumni Board of Trustees, a maximum of \$2000 per year may be made available from the Endowment to defray the cost of preparation and distribution of this report to alumni.

ACCOUNTABILITY

The Dean of the College will announce the awards. Each successful applicant will be required to submit a report annually and at the conclusion of the project. If appropriate, this report will be made in abstract form suitable for publication in the Dental Alumni News or similar publications. Participants also may be requested to present a description of their program or research findings at a meeting of the University of Tennessee Dental Alumni Association, International Association of Dental Research, American Association of Dental Schools, and other meetings approved by the Dean or the Board of Trustees of the Dental Alumni Association. The Dean of the College will have the responsibility of supervising the fiscal management of awarded funds, while the Department Chairman will be responsible for assuring that meaningful progress is made toward the stated aims and objectives of the project.

I. FORMAT FOR RESEARCH GRANTS

All applications must include a cover letter signed by the investigator and all co-investigators stating that all persons have read, support and agree to the commitments and responsibilities described for them in the proposal. Each co-investigator must should have a substantial role to the project and be willing to take public responsibility for its con-duct. Co-investigators cannot receive financial compensation for their contribution to the research. If financial compensation is required (e.g. statistical consultation fees), the individual should not be listed as a co-investigator, but as a paid consultant on the budget page. Applications for research grants must be prepared according to the following format:

1. Title Page (not to exceed 1 page): The title page should provide the following: type of award sought, title of the proposal, investigator(s), departmental affiliation(s), name of the Research Advisor (Category II awards only), dates of proposed project period, total amount requested and date of submission.

2. Abstract (not to exceed 1 page): A synopsis of the proposed work should include the long term objectives and specific aims of the project and a concise description of the design and methods for achieving the goals. This abstract should serve as a succinct and accurate description of the proposed work when separated from the application.

3. Clinical significance – A short paragraph describing the clinical relevance of this project.

4. Budget (no page limitation): A full justification and description of how the funds will be used must be included. A statement also must be included specifying how much time per week the applicant(s) will devote to the project. For Alumni Clinical Research Grants, requests to support travel, production of illustrations for presentation or publication, and publication costs should be included in the grant budget. The maximum award will be \$15,000 for Category I and \$2500 for Category II awards plus allowable travel and publication costs.

**Please consult with the Grants & Clinical Research Coordinator when developing your budget to verify that all necessary costs are included and that the budget is appropriate.*

5. Biographical Sketch (not to exceed 2 pages per application): Each applicant involved in the project and the Research Advisor if a Category II proposal should provide a short curriculum vitae.

6. Role of the investigator(s): The role and responsibilities of each investigator involved in the project should be briefly described.

7. General Objectives and Specific Aims (not to exceed 1 page): State the broad long term objectives and describe concisely what the specific proposal is intended to accomplish. 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 6 pages for Category I Clinical Research Grant and 4 pages for Category II, Alumni Professional Development and Academic Enrichment Grants, and Research Equipment Grants excluding references):

- A. If the proposal outlines a clinical research project, provide a detailed description of the back-ground and significance, preliminary studies, experimental design and methods, and relevant literature cited. State the relevance to the clinical practice of dentistry.
- B. If the applicant proposes a training plan, the application should include details regarding back-ground and significance, training design, methods to be used and a description of the opportunities for critical professional interaction with senior colleagues. Additional topics may be added as appropriate to the proposal.

9. Timetable: Provide a proposed timetable for the conduct of the research. Requests for extensions of time to complete existing funded projects will be submitted to the Dean of the College for approval. Such requests must contain an interim progress report and a justification for the extension.

10. Outcome measures:

- A. **Publication Plan** – Which journal(s) will these results be submitted to, as well a timetable for Projected submission for publication.
- B. **Plans for future funding to enhance the current proposal.**

11. Contingency Plan: If the proposal requests funding for more than one year, indicate how the planned research might be completed if any of the key investigators were to become separated from the College of Dentistry. If this plan proposes to name a new investigator to continue the work

who is not included on the original application, both a statement regarding the qualifications of that individual to conduct the research and a letter of agreement from the individual must be included.

12. Appendix (no page limitation): Append publications and manuscripts accepted for publication by the applicant(s) that are directly relevant to the proposal. Do not include publications of others. If the proposal involves either human subjects or vertebrate animals, include a copy of the appropriate review board application (pending or approved). To support a training program for a faculty member, letters for reference may be provided. For Category II awards, include a letter of support from the Research Advisor that states that the Advisor understands their responsibilities in the conduct of the research. In all situations a letter from the chairman of the applicant's department must be included that offers support for the applicant and specifies the time set aside for the applicant to conduct the project.

13. Response to critique (resubmissions only): Resubmitted applications must include a letter of response to the previous critique. This letter should provide the applicant's responses to the points made by the reviewers and indicate specific changes made in the proposal.

II. FORMAT FOR PROFESSIONAL DEVELOPMENT GRANTS OR ACADEMIC ENRICHMENT GRANTS

Applications must be submitted on the form appended to this request for proposals. To enhance the quality of submitted proposals, applicants are strongly encouraged to present their proposals for evaluation and critique to colleagues knowledgeable in the area of the proposed research and/or experienced in successful grant writing before formal submission. Proposals which depart from the described format, exceed the page limitations, without the appropriate review board application appended, submitted after the published deadline or submitted to the improper office will be returned without evaluation or comment.

Please submit the proposal electronically as a single Word or pdf document to the Grants & Clinical Research Coordinator at lwedel1@uthsc.edu or Dr. Garcia-Godoy at godoy@uthsc.edu.