

REQUEST FOR PROPOSALS AND GUIDELINES

The University of Tennessee College of Dentistry seeks proposals from faculty, postdoctoral students, and residents for funding to support (1) professional development and academic enrichment projects, and (2) clinical research.

This document describes the Administrative Provisions of the Alumni Endowment Fund, providing guidelines for the administration of disbursements from the fund.

BACKGROUND AND DESCRIPTION OF AWARDS

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 professional development, academic enrichment, and clinical research.

The Alumni Endowment Fund was established in 1983, and income from the Renewal Fund has been available since 1988 to fund development and research projects and programs that benefit the College. Projects selected for funding must contribute 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.

The number of awards will vary each cycle, depending on the quality of the proposals 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. Projects must be designed for a one (1) year grant. The applicant(s) must present a proposed timetable within which they will complete the project. Extensions of project periods may be granted only when warranted and justified (see *Extensions* on page 8).

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 grants for (1) providing professional development and academic enrichment through advanced learning opportunities; and (2) enhancing research capabilities for individuals without prior research experience, as well as for those already recognized as accomplished researchers, with a special emphasis on those research proposals that involve junior faculty and students.

ENDOWMENT FUND OBJECTIVES

The Administrative Provisions of the Alumni Endowment Fund identify two primary objectives, which are (1) development and enrichment, and (2) clinically-relevant research. Under each objective are two separate grant types, which have been established to accomplish these objectives. These include:

- A. Development | Enrichment Grants
 - 1. Alumni Professional Development Grants
 - 2. Alumni Academic Enrichment Grants
- B. Clinical Research Grants
 - 1. Alumni Clinical Research Grants
 - 2. Alumni Clinical Research Fellowships

GRANT GUIDELINES

SUMMARY

A summary of the primary details of each grant is listed in the table below. Please refer to each grant subsection for specific guidelines and review process details.

GRANT TYPE	AMOUNT	DEADLINE	ELIGIBILITY	SUBMIT TO
DEVELOPMENT / ENRICHMENT				
Professional Development	up to \$2500	May be submitted any time throughout year	Faculty	President of the Committee of Faculty
Academic Enrichment	up to \$2500	May be submitted any time throughout year	Faculty	President of the Committee of Faculty
CLINICAL RESEARCH				
Clinical Research	Category I: up to \$ 5,000 (+ allowable travel & publication costs)	First Friday of April	Faculty	Chair of the Research Review Committee
	Category II: up to \$ 2,500 (+ allowable travel & publication costs)	First Friday of April	Faculty (with no advanced research training or experience) Postdoctoral Students or Residents	Chair of the Research Review Committee
Clinical Research Fellowship	Category I: up to \$ 5,000 (+ allowable travel & publication costs)	First Friday of April	Postdoctoral Students or Residents	Chair of the Research Review Committee

DEVELOPMENT & ENRICHMENT GRANT GUIDELINES

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 clinical and research skills.

Guidelines:

Grant support for these professional development programs may provide:

- (1) Funds for honorarium for visiting lectureship or clinician
- (2) Supplement or provide payments 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 program or procedures
- (4) Purchase of selected academic resource materials

An individual, a department, or committee of the College may submit requests for grants that would benefit the College of Dentistry as a whole.

Proposals should be \$2500 or less.

Requests for travel funding cannot exceed the University guidelines.

Submission and Review Process:

All Professional Development proposals will be submitted to the President of the Committee of Faculty. The Committee of Faculty will make decisions based upon merit and recommend proposals for funding to the Dean of the College of Dentistry. The Dean will make the final decision based upon funding and the recommendations of the Committee of Faculty.

- Proposals for grants of \$2500 or less will be accepted by the Committee of Faculty throughout the year. A maximum of approximately \$5,000 is allotted per calendar year.

B. Alumni Academic Enrichment Grants

To allow for the enrichment of the overall educational environment of the College of Dentistry through educational activities and equipment.

Guidelines:

An individual, a department, or committee of the College may submit requests for grants that would benefit the educational environment of the College of Dentistry as a whole.

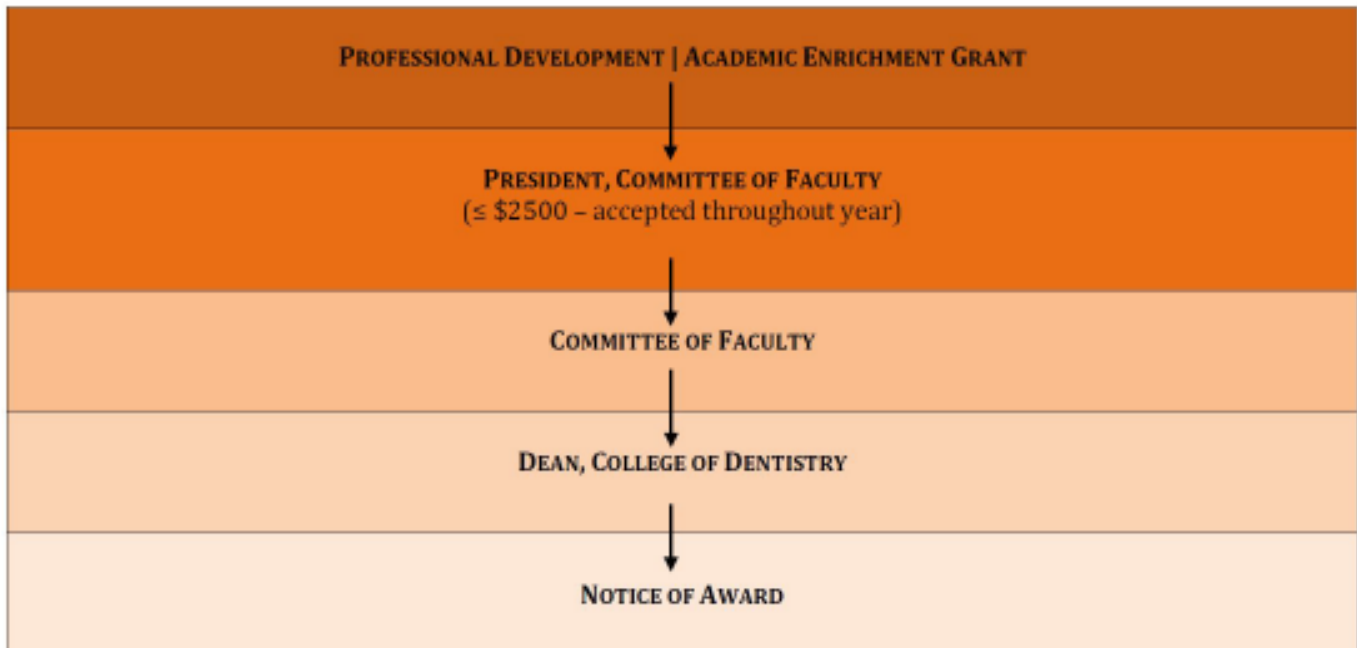
Grant support for these academic enrichment programs may provide:

- (1) Funds for student-targeted lecture series
- (2) Procurement of advanced learning equipment
- (3) Funds for other educational events and conferences

Submission and Review Process:

Academic Enrichment grants will follow the same submission and review process as Professional Development grants (see above).

• SUBMISSION FLOWCHART – PROFESSIONAL DEVELOPMENT | ACADEMIC ENRICHMENT GRANTS •



CLINICAL RESEARCH GRANT GUIDELINES

A. 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 to 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:*

- i. Maximum of \$5,000 plus allowable travel and publication costs (see below for more details on travel and publication costs)
- ii. Available to faculty in the College of Dentistry
- iii. Two types:
 - a) Clinical Research Grants: proposals must follow the format listed in *I. Format for Research Grants*
 - b) Research Equipment Grants: proposals 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 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:

- i. Intended to provide faculty members and postdoc/residents, who have no advanced training in research, with an opportunity to receive seed money to conduct a pilot study and collect preliminary research data to support future extramural grants submissions
- ii. Maximum of \$2500 plus allowable travel and publication costs (see below for more details on travel and publication costs)
- iii. Available to faculty in the College of Dentistry who meet the following criteria:
 - a) No advanced training in research, research methodologies or statistics
 - b) Never awarded a Category I Research Grant as the principal investigator
 - c) Never listed as an investigator on an extramurally-funded research project (except for the L.G. Noel grant)
 - d) Never received more than two previous Category II Research Grants
- iv. Before applying for a Category II Research Grant, the applicant must identify a Research Advisor who has training and/or experience in the area of proposed research. The responsibilities of the Research Advisor are as follows:
 - a) Provide guidance and criticism in the development of the proposal
 - b) Assure that the methods, materials, and research design are appropriate to answer the research questions of the proposal
 - c) Assure the protocol described in the proposal is being executed in a proper and timely manner
 - d) Critique the analysis and interpretation of the data
 - e) Critique the final report
 - f) Provide guidance in the preparation of a manuscript for publication and/or presentation and be listed as a co-author.
- v. Proposals must follow the format listed in *I. Format for Research Grants*.

Submission and Review Process:

Proposals for Clinical Research grants will be accepted by the Research Review Committee on the first Friday of April, by 5:00 pm CST. Proposals will be distributed and reviewed by all committee members. Depending on the number of proposals received, the committee chairman may designate a primary reviewer to present the proposal to the committee. The committee will meet within one month of the grant deadline and each proposal will be presented, critiqued, and rated on a 10 point scale (1=lowest;10=highest). A proposal must receive a mean score of 7 or above to be recommended to the Dean.

The Dean will review all recommendations from the Research Review Committee and will make decisions based upon these recommendations, merit of the proposal, and available funding. If funding is limited, rank order of scores will determine which proposals are recommended by the Dean to the Dean's Executive Board.

The Executive Board will meet in July to review the recommendations from the Dean. Funding decisions will be made based upon available funding and merit. A proposal must have a majority vote to be funded. In exceptional cases, the Executive Board will present its recommendations to the Alumni Board of Trustees for final review and approval.

The following are the review criteria for Category I and Category II Research Proposals:

Category I:

Review criteria will vary depending on the type of application, but will generally include:

- i. Significance and originality of the goals and approaches
- ii. Feasibility of the project and adequacy of the design to answer the proposed questions
- iii. Value of the project in terms of training, knowledge, and useful application for the private practitioner
- iv. Experience and competence of the applicant(s)
- v. Adequacy of the facilities
- vi. Provisions for protection of human subjects and animals (including IRB or IACUC approval) if necessary
- vii. Appropriateness of the requested budget for the work proposed

Category II:

Review criteria 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 (include IRB or IACUC approval) if necessary
- e. Appropriateness and justification of the requested budget for the work proposed

Although significant scientific merit remains the major criterion for a proposal to be recommended for funding, the Research Review Committee will consider the limited experience of the applicant(s) in formulating its recommendations for funding of a Category II Award. *** Please note:** Category II grants will be reviewed separately from Category I grants and Clinical Research Fellowships.

B. Alumni Clinical Research Fellowships

To allow exceptional postdoctoral students/residents to pursue individual research or teaching projects, and to serve as an effective recruitment and training program.

Guidelines:

Applicants must be postdoctoral students or residents in the College of Dentistry. Proposals for the Clinical Research Fellowship should follow the same guidelines and format as a Category I Research Grant, but all Fellowship proposals must also include a statement of how the proposed research project will assist in the applicant's individual growth in research and how it will serve to lay the foundation for future research goals.

Submission and Review Process:

Submission and review of Clinical Research Fellowship proposals will follow the same procedures as those listed above for Category I Research Grants.

*** Please note:** all Clinical Research Fellowship proposals will be considered apart from the Clinical Research Grants (Categories I & II).

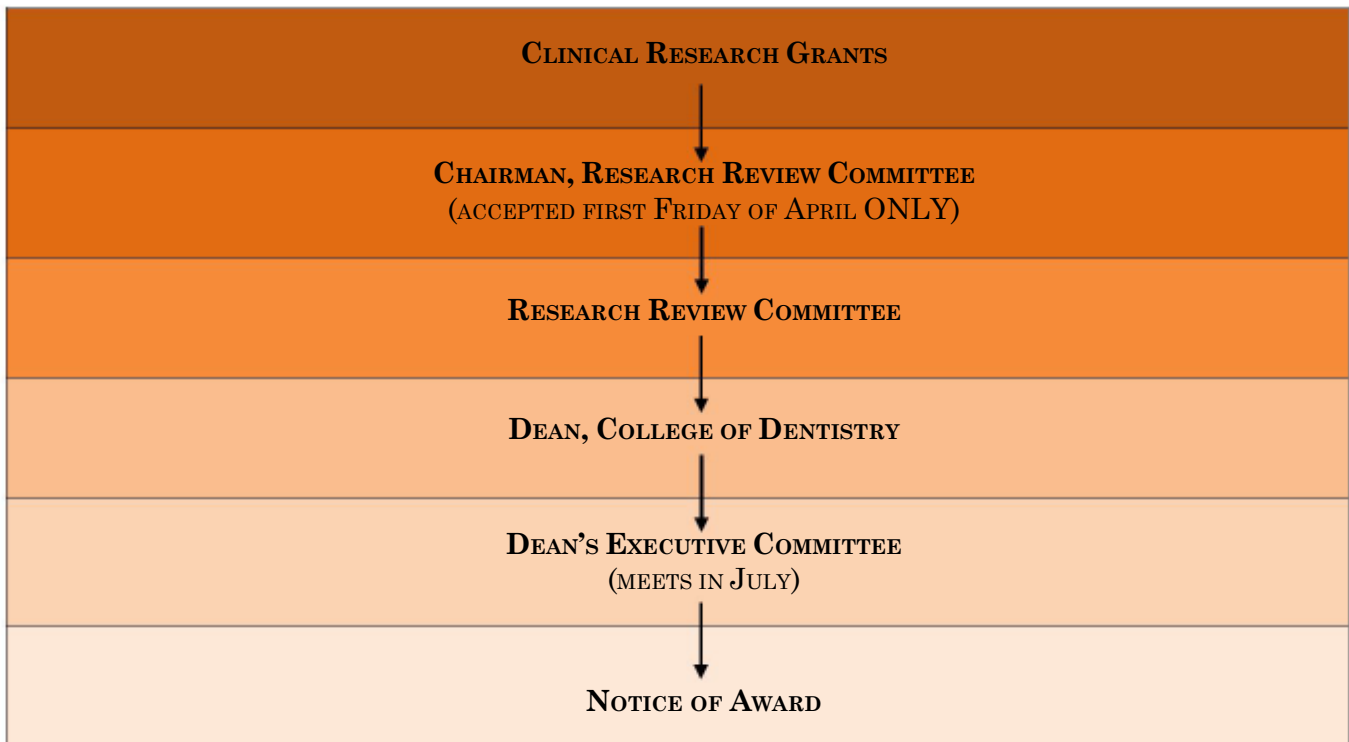
Travel and Publication Costs:

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 the research results from an Alumni Clinical Research Grant at a recognized major dental organization meeting or conference.

Funds for travel and/or publication costs should be included in the original budget, but are not included in the maximum amount requested of \$5,000 or \$2500 (for Category I/Fellowship or Category II grants, respectively). Travel expenses are limited to the lesser of 75% of the total reimbursable travel costs or \$1000. Support for publication costs is limited to \$300.

All travel and publication costs must be approved by the Dean of the College. Requests must be submitted in writing with a description of the proposed travel or publication costs, a copy of the previously funded grant proposal and the final report of the grant (if completed). The Dean may refer the request to the Research Review Committee.

• **SUBMISSION FLOW CHART - CLINICAL RESEARCH GRANTS** •



NOTICE OF AWARDS

For Development and Academic Enrichment grants, the President of the Committee of Faculty will be responsible for communicating awards to applicants.

For Clinical Research grants/fellowships, the Chairman of the Research Review Committee will be responsible for communicating awards to applicants.

In the event that a proposal is not funded, the Chairman will compile all comments about the proposal and report them as anonymous critiques to the applicant. Applicants will be encouraged to respond to critiques and make adjustments and resubmit in the following cycle.

ACCOUNTABILITY

Each successful applicant will be required to submit a final report to the President of the Committee of Faculty or the Associate Dean for Research (dependent upon grant type). If appropriate, this report may be requested in an abstract form, suitable for publication in the Dental Alumni Bulletin or similar publications. Grantees may also be requested to present a description of their program or research findings at a meeting of the University of Tennessee Dental Alumni Association, IADR/AADR, American Dental Education Association, and other meetings approved by the Dean or the Board of Trustees of the Dental Alumni Association. The Assistant Dean of Finance will have the responsibility of supervising the fiscal management of awarded funds, while the Chair of the Department (in which the lead investigator resides) will be responsible for assuring that meaningful progress is made toward the stated aims and objectives of the project.

EXTENSIONS

To request a no-cost extension of an Alumni Endowment grant, grantees must submit a justification for the request to the President/Chairman of the reviewing committee. The no-cost extension request must follow the format listed below:

- i. Explanation for why the project was not completed in the original proposed timeline due to extreme circumstance, i.e. extended time off due to illness, etc. This decision will be made at the discretion of the Associate Dean for Research
- ii. Statement listing the estimated direct costs left to spend (please contact the Business Office for this amount)
- iii. A new proposed end date
- iv. A plan for how the remaining tasks will be completed during the new timeline
- v. A budget for the remaining direct costs
- vi. Letter of acknowledgement from the other investigators agreeing to their effort and responsibilities in the new project plan

***Please note:**

- (1) A maximum of 6 months will be awarded for a no-cost extension (*Extra time may be given in cases with extenuating circumstances).
- (2) If a grant is not completed within that 6 month period, all investigators on the grant will be ineligible for another Alumni Endowment Grant for 2 years from the end of the approved extension.
- (3) Exceptional consideration will be given for Postdoctoral/Residents who have a period of thesis research training exceeding one year. Up to one additional year may be requested.

GRANT FORMATS

I. Format for Research Grants

Proposals for research grants must be prepared according to the following format:

1. COVER LETTER

All proposals must include a cover letter that is signed by the principal investigator(s) and all co-investigators listed on the grant. This letter should state that all persons have read, support, and agree to the commitments and responsibilities described for them in the proposal.

2. 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.

3. ABSTRACT (not to exceed 500 words)

The abstract should provide a synopsis of the proposed work and 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.

4. CLINICAL SIGNIFICANCE (not to exceed 1 page)

The statement of clinical significance should be written to describe the clinical relevance of this project. Please emphasize how the proposed project will impact clinical dental practice.

5. BUDGET (no page limitation)

A detailed budget must be included in the proposal. This budget must show line items, quantities, and costs. Salaries, fringe benefits, and F&A requests are prohibited in the Alumni Endowment Grant. Travel and publication cost requests should be included in the budget, but should not be included in the up to \$5,000 or \$2500 total requested.

**Please consult with the Grants Manager when developing your budget to verify that all necessary costs are included and that the budget is appropriate. For price quotes, please schedule a meeting with the Supervisor of the Business Office in the College of Dentistry.*

6. BUDGET JUSTIFICATION

A full justification and description of how the funds will be used must be included. For equipment purchases, quotes from multiple vendors must be included. When requesting consultant fees, a full description of the consultant's proposed work must be included, and a Letter of Agreement from the consultant must be included in the Appendix. This letter must include an explicit statement of agreement to responsibilities and consultant fee.

7. BIOGRAPHICAL SKETCH (not to exceed 2 pages per applicant)

Each applicant involved in the project, and the Research Advisor if a Category II proposal, should provide a short curriculum vitae.

8. STATEMENT OF WORK (not to exceed 1 page)

The role and responsibilities of each investigator involved in the project should be briefly described. The percent effort that each investigator will devote to the project should also be listed here. Please use the following format (1.2 cal months OR 10% effort).

9. 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.

10. PROJECT PLAN *(not to exceed 6 pages for Category I Clinical Research Grant and Clinical Research Fellowship, and 4 pages for Category II)*

- A. If the proposal outlines a clinical research project, provide a detailed description of the background 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 background 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.

11. TIMETABLE

Provide a proposed timetable for the conduct of the research. Requests for extensions of time should follow the instructions in the section *Extensions*. **Please note:** grants submitted in April will have an earliest state date of August.

12. OUTCOME MEASURES *(not to exceed 1 page)*

- 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. (**Please note:** for all Clinical Research Grants, there will be a 6 month follow-up report required to show progress of this statement. See *Six-Month Report*).

13. CONTINGENCY PLAN *(not to exceed 1 page)*

Please 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.

14. 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). 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. If requesting consultant fees, please include a Letter of Agreement here. 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.

15. RESPONSE TO CRITIQUE *(resubmissions only)*

Resubmitted applications must include a letter of response to the previous critique. This letter should provide bullets of the critiques made by the Research Review Committee, followed by the applicant's responses to each point made by the reviewers and an indication of the specific changes made in the proposal.

16. FINAL REPORT *(not to exceed 5 pages)*

Within two months of completing your project, you will be required to submit a final report to the Chairman of the Research Review Committee and the Dean of the College of Dentistry. Please follow the format listed below:

- i. Restatement of the specific aims of the project
- ii. Brief explanation of the methods and procedures performed
- iii. Summary of the data
- iv. Conclusions
- v. Statement of plans for publication and/or presentation (if already presented/submitted for publication, please note this here)
- vi. Detailed explanation of how funds were used during project
- vii. Plans for future funding

17. **SIX-MONTH REPORT** *(not to exceed 1 page)*

As a means of follow-up on the Outcome Measures stated in the original proposal and in the plans for future funding, which were provided in the Final Report, the Six-Month Report must be submitted to the Chairman of the Research Review Committee 6 months after receipt of the final report. In this report, please provide an update on your progress to continue the research from the original proposal and seek extramural funding. If no progress has been made, please justify this lack of continued research.

II. Format for Professional Development and Academic Enrichment Grants

Proposals for Professional Development and Academic Enrichment grants must follow the format listed below:

1. **COVER LETTER**

All proposals must include a cover letter from applicant(s). This letter should be printed on Department letterhead and signed by all applicants listed on the proposal.

2. **PROFESSIONAL DEVELOPMENT AND ACADEMIC ENRICHMENT COVER SHEET**

Please complete the document appended to the guidelines. (See Attachment A)

3. **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.

4. **PROJECT PLAN** *(not to exceed 4 pages)*

Provide a detailed description of the proposed project/program, including background and significance and the need for this project/program in the College of Dentistry. If examples of similar successful programs exist, please include them here.

5. **IMPACT STATEMENT** *(not to exceed 1 page).*

Describe the projected impact that this proposal will have on the impact area stated on the Cover Sheet.

6. **BUDGET & BUDGET JUSTIFICATION** *(no page limitation)*

Include the following information:

- A. Travel and Per Diem
- B. Fees and/or Tuition
- C. Honorarium
- D. Room Rental
- E. Materials/Equipment
- F. Other

Please justify all expenses listed in the budget. Include price quotes where possible.

7. TIMETABLE *(no page limitation)*

Provide a timetable for completion of the proposed program/project.

8. DEPARTMENT CHAIRMAN'S ENDORSEMENT

Provide a letter from your Department Chairman. This letter must be printed on Department letterhead and signed by the Chairman. Electronic signatures will not be accepted.

9. RESPONSE TO CRITIQUE *(resubmissions only)*

Resubmitted applications must include a letter of response to the previous critique. This letter should provide bullets of the critiques made by the Committee of Faculty, followed by the applicant's responses to each point made by the Committee and an indication of the specific changes made in the proposal.

10. APPENDIX *(no page limitation)*

Append any supporting material for the proposal. This should include the course program, the speaker CV, marketing materials/flyers, lists of proposed lectures, etc.

11. FINAL REPORT *(not to exceed 5 pages)*

Within two months of completing your project, you will be required to submit a final report to the President of the Committee of Faculty and the Dean of the College of Dentistry. Please follow the format listed below:

- i. Restatement the specific aims of the project
- ii. Brief description of the project
- iii. Summary of the data (i.e., number of attendees at each session)
- iv. Evaluation of success of project/program
- v. Detailed explanation of how funds were used during project

Proposals which depart from the described formats (for either Clinical Research Grants or Professional Development/Academic Enrichment Grants), exceed the page limitations, lack the appropriate review board application, are submitted after the grant deadline, or are submitted to the improper review committee will be returned without evaluation or comment.

Attachment A:

**University of Tennessee
Dental Alumni Endowment
Cover Sheet**

_____ Alumni Professional Development Grant

_____ Alumni Academic Enrichment Grant

Date: _____

Applicant(s): _____

Department/Committee: _____

Impact Area (individuals/departments/college): _____

Included with this Cover Sheet are the following:

- Cover Letter
- General Objectives and Specific Aims
- Project Plan
- Impact Statement
- Budget & Budget Justification
- Timetable
- Department Chairman's Endorsement
- Response to Critique (resubmissions only)
- Appendix (if needed)

