

A. PURPOSE

The Daiichi Innovative Technology Grant will fund exploratory or hypothesis-generating projects that are not well-suited to a formal grant application (eg, based on statistical analysis and sample size specification) such as:

1. development of new surgical or diagnostic instruments
2. survey or quality of life measures
3. new use of internet technology or computer software such as CDs or DVDs
4. educational brochures, materials, software for patients or physicians
5. other applications of innovative technology for education or research in pediatric otolaryngology

Full patent and copyright control must be retained by the applicant and the applicant's institution. If patented innovations funded by this award generate more than \$5,000, the applicant may be required to return funds to the Society.

B. ELIGIBILITY

Researchers (MD, PhD, DMD, DO) in disciplines who will conduct research directly relevant to innovative technology in pediatric otolaryngology are eligible to apply. Applications submitted by otolaryngologists or demonstrating collaborations with otolaryngologists are preferred. Participation of an ASPO member is not required, but is preferred. ASPO will consider applications from both:

(1) Individuals:

- a. Unaffiliated with an institution may submit a grant application from the individual himself/herself. In the event of a grant award, an ASPO check would be drawn to the individual investigator. This could be considered as income to that individual and therefore subject to income tax.
 - b. Affiliated with institutions (i.e., universities) may apply individually if allowed by university policy. In the event of a grant award, an ASPO check would be drawn to the individual investigator (See Signatures and Approvals).
- (2) **Institutions:** organization exempt from income taxation pursuant to Section 501(c)(3) of the Internal Revenue Code (other than a private foundation). Submission of a W9 form documenting 501(c)(3) status to the ASPO Treasurer will be required (US institutions only) prior to release of funds. Investigators affiliated with institutions (i.e., universities) who are not allowed by university policy to apply individually, may ask the university to submit the grant application for the investigator's project. Investigators in this category are considered institutional applicants. In the event of a grant award, an ASPO check would be drawn to the Institution (see Signatures and Approvals).

C. CONDITIONS

If the principal investigator is a trainee (resident or student), the grant application must be accompanied by letters of support from the principal scientific advisor or mentor indicating a general level of support of the applicant, the fact that the Department will make time, space, and other resources accessible for completion of the project, and that the applicant will have appropriate supervision/support throughout the period of the grant.

D. TERMS

1. **Amount:** \$5,000 total costs; no more than 10% indirect costs allowed.
2. **Period:** 12 months, non-renewable. One-year no-cost extensions may be requested from the Chair of the ASPO Research Committee (see www.aspo.us for contact information). Any funds remaining two years after the initial award must be returned to ASPO.

3. **Use of Funds:** A detailed budget and budget justification constitute part of the application and will be evaluated as part of the review process. No portion of any grant may be used for travel expenses, including funding for travel to meetings for presentation purposes or for meetings between investigators. No portion of any grant may be used for the principal investigator's salary. Allowable expenses include consultant fees (e.g., statistician); salary support for research assistants or other technical personnel; computer software or hardware; purchase and maintenance of experimental animals; laboratory supplies and services; and expenses related to publication of results directly related to the supported project, exclusive of reprint costs. Equipment and supplies purchased with this Award become the property of the recipient institution. Given the modest size of this award, ASPO prefers not to pay institutional (indirect) costs. If university policy stipulates that indirect costs must be requested, no more than ten percent (10%) of the total costs may be applied for indirect costs. The Total Costs may not exceed \$5,000.
4. **Review:** Applications will be reviewed by members of the Centralized Otolaryngology Research Efforts (CORE) Study Section, composed of ASPO members designated for the Study Section, and members of the AAO-HNSF CORE Study Section Subcommittee. Based on these reviews, the ASPO Research Committee makes recommendations for funding which are presented to the ASPO Board at its COSM meeting. Final funding decisions are made by the ASPO Board.
5. **Notification:** Letters of notification will be sent by June of the award year. Please do not call the AAO-HNSF office prior to that time to inquire about the review.
6. **Start Date:** The recipient of the ASPO Research Award will be announced publicly at the closest AAO-HNS Foundation Annual Meeting immediately following the award. Verification of IRB approval and/or animal use approval, as applicable, in addition to verification of tax exempt status must be received prior to release of funds. 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. ASPO reserves the right to revoke an award if relevant approvals have not been obtained within 6 months of notification of a successful application.

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

Applicants affiliated with institutions should consult their institution's office of research administration or sponsored projects for information on processing requirements for a grant application prior to its submission and should comply with the institution's policies.

Individual applicants who are affiliated with institutions should disclose the fact of the application to the institution with which he/she is affiliated; ascertain that acceptance of grant funds by an individual would be permitted by the institution; and obtain the signature on the Application Form of an institutional official indicating that, in the event of an award, the individual investigator is permitted by the institution to accept a check drawn to him/her.

Institutional applicants should provide, on the Application Form, the name of the institution to which a check should be drawn, in the event of a grant; and the title and address of the financial officer of that institution to which a check and letter of notification should be sent.

G. APPROVALS

If the proposed research involves human subjects or vertebrate animals at any time, the project must be reviewed and approved by the appropriate Institutional Review Board (IRB) or Animal Care and Use Committee (IACUC). This approval should be obtained prior to submission and submitted with the application. If such approval is unavoidably delayed, enter "pending" instead of the approval date. Grant applications which are not supported by evidence of the appropriate IRB or IACUC approvals will not receive funding until such approval letters are submitted. In no case may the project start be delayed beyond January 1 of the year following the award. Investigators are strongly urged to obtain such approvals prior to submission to avoid revocation of grant funds due to inability to meet the January 1 start date. Any changes in the proposed work required by an IRB or IACUC to secure approval must be submitted to the ASPO 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.

ALL materials must be submitted online by midnight, Eastern Standard Time, January 15, 2009.

J. FOLLOW-UP

In carrying out its stewardship of research programs, the ASPO 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

Grant recipients are required to submit a progress report within 90 days after the completion of the granting period. The progress report should be submitted regardless of the stage of completion of the project. All reports should be written with the knowledge that they may be published in the abstract book of the ASPO annual meeting. A final financial report must be submitted within 90 days of the close of the project. Successful applicants are strongly encouraged to present the results of the study for the ASPO annual meeting (see the ASPO website at www.aspo.us for information about abstract submission).

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, 2008

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 Plan & Other Attachments
 - a. Research Plan (**LIMITING TO 3-PAGE IS RECOMMENDED, NOT TO EXCEED 10-PAGES**)
 - b. Budget & Budget Justification not to exceed 4-pages
 - c. Biosketches (PI & mentor if applicable)
 - d. Resources & Environment
 - e. Abstract
 - f. Department Head Letter (**OPTIONAL**)
 - g. Other support (letters of support from all key personnel) (**OPTIONAL**)
11. PI Private and Demographic Info *Pre-populated from Professional Profile*
12. Cover Sheet (pre-populated from grant application, all necessary institution authorities and department head must sign and the document will need to be scanned and re-uploaded to the system)
13. Run the system checks and receive no errors
14. Submit application
15. Receive confirmation email that the application has been officially submitted

SUBMIT APPLICATION BY JANUARY 15, 2009