

## ADMINISTRATIVE POLICIES AND PROCEDURES FOR POSNA RESEARCH GRANTS

These procedures are for anyone who will be submitting a full application for a research grant. This document contains instructions for submitting the grant application as well as information on POSNA's research grant rules and policies.

### 1. OBJECTIVE:

The purpose of these grants is to provide funding for high quality basic science, clinical research and clinical registries (multicenter preferred) for pediatric orthopaedic conditions.

### Grant proposals should emphasize the following:

- Potential to have a profound effect on the orthopaedic care of children.
  - Ability to successfully complete the funding proposal as measured by past experience, preliminary data and pilot work.
  - Potential for expanded research, future publications and extramural grant funding.
  - Collaborative nature of the grant (number of investigators and institutions involved).
2. Eligibility: See Section I. A.
  3. Period of Grant: up to 2 Years for most grants (Start-Up & QSVI grants are 1 year, Registry Grants run for 3 years)
  4. Amount: Up to \$30,000 for most grants. Start-Up grants are up to \$10,000. Directed Research up to \$50,000, Registry Grants up to \$50,000/year for 3 years. The Angela Kuo award is up to \$40,000. Please note that principal investigators are allowed to specify how they would modify their budget and specific aims or make up the shortfall for any smaller funding amount. This allows their grants to be considered for grant funding at different levels and increases their chances of an award.
  5. Award eligibility: The Huene award is available to investigators 45 years of age or older as of January 1<sup>st</sup> of the year of submission. The Kuo award is available to investigators under 45 years of age and with at least 5 years of practice, as of January 1<sup>st</sup> of the year of submission. The St. Giles award is available to investigators of any age with less than 5 years of practice as of January 1<sup>st</sup> of the year of submission.
  6. Any grant at any funding level is eligible for these awards, including POSNA Directed and Registry grants. The author in these cases should state their desire to be considered for the award and include the requisite supplementary materials. Thus, to submit for a named award the investigator should apply using the Registry (50k x 3 years), Directed Research (50k), Research (30k) or Clinical Trials Planning Grant (30k) options and select the option to compete for the named award.
  7. Application: Must be submitted through ProposalCENTRAL website:
    - a. Log in as an applicant here: <https://proposalcentral.com>

### Instructions for ProposalCENTRAL, Altum website (link above):

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- If you have used this website to submit grant applications for POSNA last year or for other organizations in the past, you should already have a log in and account.
- If not, you will have to register with the site first and create a log in.
- After you are logged in, click on the “Grant Opportunities” tab.
- Then click “filter by grant maker”, scroll down and click on POSNA, which will bring you to a list of available LOI grant programs.
- Clicking the program grant name, will take you to the POSNA website to view descriptions and requirements for that grant.
- Clicking “apply now” will take you to the submission “title page”. Enter the title, save, then the instructions and other links on the left will be available. The submission process consists of 8 steps.
- ***You may submit a single LOI with designation of multiple potential funding levels and whether you would like to be considered for an award.***

For questions, please contact Teri Stech at [stech@posna.org](mailto:stech@posna.org) or [pcsupport@altum.com](mailto:pcsupport@altum.com)

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## **Reviewer Criteria Used in Scoring of Grant Applications**

*(This is information that the reviewers will be looking for when reviewing your application)*

### **A. Relevance (to POSNA)/Significance/Potential for Future Funding**

- i. Is the project relevant to the mission of POSNA?
- ii. Do the aims of the proposed project address an important question?
- iii. What is the likely impact of the project to the field if successfully completed?
- iv. Will the results of this project suffice as preliminary data for future large-scale research funding opportunities (NIH, CIHR, PCORI, AHQR)?
- v. Alternatively, is it an important pediatric orthopaedic topic that due to the specialized topic no other organization aside from POSNA is likely to fund?

### **B. Originality; Novel; Innovative**

- i. Is the proposed study original? (Or has this been done previously but poorly?) OR
- ii. Will the results of the project result in new information or test the hypothesis with a different patient population? Is the topic so impactful on practice that more than one study is needed to provide validation?
- iii. Is the project innovative? (Uses novel concepts, approaches or technologies)

### **C. Methods: (Quality and clarity of the study design, methods and analysis)**

- i. Is the study design valid/appropriate for the question/s and aims of the project?
- ii. Is the study design the strongest feasible design to address the question's and aims?
- iii. Are the methods clearly described for each of the specific aims?
- iv. Is the analysis clearly articulated? Is there a power analysis and a statistical plan?

### **D. Investigator/s / Track record**

- i. Do the members of the investigative team have the requisite content experience/expertise to conduct the project?
- ii. Do the members of the investigative team have the requisite methodologic experience/expertise to conduct the research?
- iii. Do the investigators have an appropriate track record of successful completion of research?
- iv. Some POSNA grants are aimed at new or less experienced investigators.

### **E. Feasibility: Research Setting, Timelines & Budget**

- i. Is the research setting / environment conducive to the successful completion of the project?
- ii. Are the specified timelines reasonable to accomplish the aims of the project? (including IRB approval; IACUC approval, data use agreements; lab set up or participant recruitment; follow-up until final outcomes, typically 2-year follow-up for high quality publications, etc)

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- iii. Is the budget reasonable and appropriate to accomplish the aims of the project?

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## I. POSNA RESEARCH GRANTS – PROPOSAL SUBMISSION INFORMATION

### A. Eligibility:

1. For POSNA Research Grants: A member of POSNA must serve as the principal or one of multiple investigators. Ph.D.'s or D.V.M.'s may serve as one of multiple investigators, as long as they are working in an orthopaedic department with a member of POSNA as another of multiple investigators. In the case of multiple investigators the precise role of each person must be clearly defined, and typically involves interdisciplinary collaboration with the need for multiple individuals directing the study and allocating funds. If the study is instead being directed by a single principal investigator then the remaining investigators should be listed as co-investigators. There are no age requirements for applicants of the POSNA research grants.
2. For POSNA Directed Research Grants: A member of POSNA must serve as the Principal Investigator.
3. For the POSNA Awards (Huene, Kuo, St. Giles): The PI must be a member and each award has specific age and practice year requirements.
4. For the QSVI Grant: All members are eligible to apply for this grant, the PI must be a member.

**See individual grant and award descriptions on our website for specific details.**

### B. Application Procedure:

1. Applicant will indicate on the application whether this is a New Submission or a Re-submission.
2. See “Research Plan and Supporting Data” (next page)

*If this is a resubmission, please provide a one-page letter with a point-by-point response to previous critique outlining changes made to the proposal. If a similar grant has been funded by your study group in the past, please specify what specific aims have previously been completed and which ones will be addressed in the current grant.*

### C. Notification of Award

A written notification, to winners, will be sent out in February. Announcement to the membership will take place at the POSNA Annual Meeting. **Grant period**

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**begins on June 1 in the year of the award and run up to 2-years through May 31.** All research grants run for a period of up to 2 years, unless otherwise stated here: Start-Up grants run for one (1) year. Registry grants go for three (3) years.

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## II. INSTRUCTIONS FOR COMPLETING RESEARCH GRANT APPLICATION

A. See Application at ProposalCENTRAL

B. Budget and Justification:

1. Enter budgets for year funds are requested. At bottom of page provide justification. Use an additional page (see application) if necessary.

2. Salaries and Wages: Enter the name, percent of time on project and salary requested, as well as normal fringe benefits, i.e., pay for vacation, sick days, and holidays charged to the grant. On budget justification page state what each person will be doing.

No salary can be requested for the principal investigator, any of multiple investigators, or co-investigators.

3. Permanent equipment: Any major piece of equipment or apparatus costing more than \$500.00 should be itemized, and justifications made.

4. Consumable supplies: Glassware, chemicals, supplies and all expendable materials obtained from the stockroom of the institution may be grouped in this category under appropriate subheading.

5. All other expenses:

a. Retirement plan and Federal Insurance Compensation Act employer contributions may be charged to grants, when such contributions are the normal practice of the institution. The percentage of such costs charged on behalf of a given individual must be calculated based on the percentage of that individual's salary charged to the grant. These expenditures must be shown in this category for approval.

b. No travel funds can be charged against the grant.

c. No overhead, PI Salary or indirect costs can be charged against the grant.

6. Multiple funding designations: If the principal investigator or multiple investigators would like to be considered for multiple funding levels, they should clearly describe how the project would be modified for lower funding levels or how the difference in funding amount would be otherwise obtained.

C. Bio Sketches: Use format/template on ProposalCENTRAL website.

Biographical sketches must be submitted for all investigators. They should not exceed five pages for each person using the current NIH Format. A. Personal Statement B. Positions, Scientific Appointments, and Honors C. Contributions to Science

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E. Facilities and Infrastructure:

- (1) List facilities available at your institution.
- (2) List research funding relevant to this project for the past five years – include current funding.
- (3) List funding received for other research projects the last five years, including your own institution – include current funding.
- (4) List current funding with potential overlap with this proposal.
- (5) List lifetime POSNA funding for the Principal Investigator or for each of Multiple Investigators.

F. Lay and Project Summary:

Provide 15-line lay summary and 35-line project summary (See POSNA Research Application Research Plan and Supporting Data instruction for more detail).

G. Research Plan and Supporting Data:

1. Detailed instructions are provided in the document: “POSNA Research Application Research Plan and Supporting Data”. Page limits should be strictly followed.

2. Relevance of the Project to the Mission Statement of the Pediatric Orthopaedic Society of North America.

“The objective of this Society shall be the advancement of pediatric orthopaedic surgery. This Society is devoted to the enhancement of care for children with musculoskeletal problems. Therefore, the purposes of this Society are exclusively to foster, promote, support, augment, develop and encourage investigative knowledge of pediatric orthopaedic surgery; to develop and encourage methods of prevention of disorders of the musculoskeletal system...”

3. POSNA encourages transparency and equal access to registry data by all participating institutions. It is suggested that Data Use Agreements do not restrict participating institutions from access to deidentified data or from publishing on their individual institutional data. It is encouraged that DUAs reflect this philosophy.

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### III. GUIDELINES

#### A. Fiscal Procedures and Policies:

1. Facilities to be provided by Grantee Institution:
  - a. Grantee institution is expected to provide all necessary, basic facilities and services. These include the facilities and services that normally could be expected to exist in any institution qualified to undertake orthopaedic research.
  - b. In particular, it is expected that the grantee institution will provide, whether from its own funds or from grant funds other than those of POSNA, the following, unless otherwise specifically agreed upon:
    - (1) Laboratory space
    - (2) Maintenance service, including maintenance, supplies and service contracts
    - (3) Telephone services
    - (4) Library service, including subscriptions to periodicals and the purchase of books
    - (5) Laboratory furniture
    - (6) Salary of principal investigator, of any of multiple investigators, and of secretarial personnel
    - (7) All travel expenses of personnel working under the grant
    - (8) Worker's compensation, public liability or other hazard and special insurance
    - (9) Office equipment
    - (10) Employee group life, disability, medical expense or hospitalization insurance. Indirect Costs Tuition expenses of personnel on grant.
    - (11) Tuition expenses of personnel on grant.
    - (12) Remodeling or building construction costs.
2. Ownership of the Equipment:

Equipment purchased under POSNA grants becomes the property of the institution, unless otherwise specified by the POSNA before termination of the grant or its extensions.

#### B. Budget Policies and Reports:

1. Reports of expenditures must be prepared and be signed by the responsible financial officer and submitted to POSNA for approval with accompanying documents. The approved financial report is returned to the financial officer with the grant payment. Expenses must be submitted by category, i.e., Salary and Wages, Equipment, Supplies, Animals, Other.
2. A Final budget report, twelve (12) months, for all Research Grants, of one-year duration, shall accompany the grant final report outlining the findings and achievements, no later than three (3) months after the grant period has terminated

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(September 1st).

3. For Research Grants of two-year duration, a twelve (12) month financial expense progress report and a twelve (12) month progress report on the research, must be submitted no later than three (3) months after the first year (by September 1).

4. At completion of grant, any unexpended balance of \$100.00 or more must be refunded to POSNA within sixty (60) days together with the report of expenditures and accompanying documentation, properly submitted.

5. Separate accounts must be maintained for each grant. These accounts, with substantiating invoices and payrolls, must be available at all times to representatives of POSNA.

5. Grantee may terminate a grant prior to normal expiration date by notifying POSNA in writing and stating the reasons for termination. Unexpended funds must be returned to the POSNA within sixty (60) days, together with a final report of expenditures. POSNA reserves the right to terminate grants at any time upon three months written notice.

C. Policy on Animals in Research

1. Use of animals and number requested for project must be justified by institution. If applicable, provide IACUC statement from your institution's animal care committee approving use of and number of animals requested for project.

2. All animals used in research supported by POSNA grants must be acquired lawfully and be transported, cared for, treated and used in accordance with existing laws, regulations and guidelines. Decisions as to the kind and sources of animals that are most appropriate for particular studies must be made by scientists and institutions accompanied by a statistical plan or power analysis. POSNA policy requires that such decisions be subject to institutional and peer review for scientific merit and ethical concerns and that appropriate assurances be given that NIH principles governing the use of animals are followed.

D. Policy on Human Subjects in Research

1. Use of human subjects and sample size must be justified. If applicable, IRB statements from your institution's human subjects committee must be provided. The investigator takes responsibility for obtaining appropriate IRB approvals and permissions for all aspects of the research project, including any non-standard-of-care procedures, for instance, radiographs or other testing. A plan for maintaining patient confidentiality and privacy must be in place.

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2. POSNA grantees are entrusted to assure adequate protection of human subjects. NIH regulations regarding human subjects should be followed.

E. Policy on Transfer of Grant

If the grant has not started at the first institution and the principal investigator moves to a new institution, the grant **will be canceled**. The principal investigator can re-apply from the new institution for the following year's funding. If the grant has started and the principal investigator leaves the first institution, the investigator should write to POSNA outlining the progress of the work, funds expended, and plan for transference of leadership to another PI at the first institution.

F. Policy on Extensions

1. Grant extensions are allowed
    - a. Must be justified with a specific reason(s) as to why an extension is required.
    - b. A timetable as to when this specific barrier(s) will be addressed.
    - c. A progress report of all work accomplished up to the time of the extension request.
  2. If an extension is granted
    - a. A report on the progress of resolving the barrier must be submitted according to the timetable set in 1.b.
    - b. An overall progress report must be submitted within 6 months of resolving the barrier(s).
8. A maximum of two (2) no cost extensions can be granted, after that the grant will be terminated. Each no cost extension can be no more than 1 year. Grants must be completed within 2 years of initially planned end date.

G. Policy on Changing Aims of Grant

If the principal investigator and collaborators find that the original aims of the grant cannot be accomplished, and that to continue the project substantial changes in aims or methodology must be considered, the principal investigator must write to POSNA, requesting permission to change the procedure and state the reasons for the change. The Research Committee will respond to the principal investigator.

H. Final Report of Findings and Achievements:

1. Grantees must submit a final report by September 1 (following the end of the grant period), using a standard report form, which will be provided at the time the grant is awarded. A written notation should be made to the Chair of POSNA research committee, if there have been any problems or delays with meeting the stated objectives of the grant in the originally proposed time frame. It is extremely important that the investigator report these accomplishments. **Failure to submit a report will result in ineligibility to apply for future POSNA grants or awards either as a principal investigator or as one of multiple**

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**investigators.**

2. POSNA reserves the right to deny additional grants to any institution where the final reports have not been submitted within six months.
3. The year after the grant period, the grantee will be required to provide an e-poster summarizing the results of their investigation for the POSNA Annual Meeting. All grant winners will be required to present an e-poster for the Annual Meeting. There are two options: (a) you may submit an abstract during the call for abstracts period. If your research is accepted for presentation (podium, e-poster) by the program committee, this will meet the above requirement. (b) submit a summary of your investigation using the e-poster template provided by POSNA.
4. The grantee(s) of a Directed Research Grant will be required to submit an Abstract(s) summarizing the results of their investigation for the upcoming POSNA Annual Meeting.
5. According to POSNA's policy, any current grant or award recipient cannot apply for a future grant as a PI, as one of multiple investigators, or as a co-investigator until the current award/grant research is completed and all final reports and expense reports have been submitted and accepted. An exception can be made if a co-investigator is due less than \$5,000 for the remaining timeline of the grant, inclusive of any payments made during the current calendar year.

**I. Publication**

1. POSNA encourages free publication of research findings by grantees but requires that the following acknowledgment be used as a footnote on the first page of the text:

**“AIDED BY A GRANT FROM the Pediatric Orthopaedic Society of North America”**

Also, when a grantee presents a paper at a professional scientific meeting, the above credit line must be included.

**POSNA should be sent reprints of all papers and publications resulting from work done under a grant, even those that publications occurring after the grant period has ended.**

POSNA imposes no restrictions on copyrighting publication by grantees.

**J. Patents**

1. If any patents accrue from investigations supported by grants funded by the POSNA, the POSNA reserves the right to negotiate a proportionate interest in the royalties.

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It is understood and agreed to by the applicant: (1) that funds granted as a result of the request are to be expended for the purposes set forth herein; (2) that the grant may be terminated in whole, or in part, at any time, by the Pediatric Orthopaedic Society of North America but that such termination shall not affect obligations made pursuant to the approved application prior to the effective date of such termination; (3) that all reports of original investigations supported by any grant made as a result of this request shall acknowledge such support provided by the Pediatric Orthopaedic Society of North America; (4) that the applicant will request that the project be revised whenever the approved plan of operation, or method of financing, is materially changed; (5) that any invention arising out of the activities assisted by this grant will be promptly and fully reported to the Pediatric Orthopaedic Society of North America; (6) that where the grant activity results in a book or other copyrightable material, the author is free to copyright, but the Pediatric Orthopaedic Society of North America reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, translate, or otherwise use, and to authorize others to use, all copyrightable or copyrighted material resulting from the grant-supported activity; (7) that reports will be made as required and necessary records and accounts, including financial and property controls, will be maintained and made available to the Pediatric Orthopaedic Society of North America.

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