

AMERICAN RESPIRATORY CARE FOUNDATION

GRANT INFORMATION AND INSTRUCTIONS

GENERAL INFORMATION

Introduction

READ AND FOLLOW THE INSTRUCTIONS CAREFULLY. Before preparing an application, study the American Respiratory Care Foundation (ARCF) Grants Policy Statement below.

Suggested Reading

It would be helpful for anyone writing a grant proposal to first read: Schultz and Sherwin: "Grant Writing for Health Professionals," Little, Brown & Company, 92169. Concurrent uses of the data by other investigators and the use of the data for research purposes at a later time are within the scope of this policy.

GRANTS POLICY STATEMENT

Objectives

The ARCF offers grants in aid for research related to respiratory care to non-profit organizations. Grants will be made only for projects in which respiratory therapists or respiratory technicians are involved in a meaningful way. As awards are generally limited to \$10,000 per year, these funds are designed to supplement other forms of support for the investigation.

ARCF Use of Information

In addition to being used for evaluating applications, the face page and the abstraction of the research plan may be used by the ARCF to dissemination of information, promotional purposes, and for classification and program analysis purposes.

Research Materials

Human Subjects, Derived Material, or Data. The United States Government, Department of Health and Human Services, regulation 45 CFR 46, provides a systematic means, based on established ethical principles, for protecting the rights and welfare of individuals who may be exposed to the possibility of physical, psychological, or social injury while they are participating as subjects in research, development, or related activities. The ARCF will adhere to this principle. The regulation covers activities which present no physical risk to the subjects, but which may create legal risks or expose subjects to public embarrassment or humiliation through breach of confidentiality or invasion of privacy. The safeguarding and confidentiality of medical records and other forms of data collected on individuals and groups; the use of such data either by the principle investigator/program director conducting the original research; concurrent uses of the data by other investigators; and the use of the data for research purposes at a later time are within the scope of this policy.

The regulation requires institutional assurances, including review procedures and assignment of responsibilities for adequately protecting the rights and welfare of human subjects. Safeguarding these rights and welfare is primarily the responsibility of the applicant, insuring that the activity described in the application and additional information relating to human subjects, derived materials, or data are reviewed and approved by an institutional review board. A copy of this regulation may be obtained from the Office for Protection from Research Risks (OPRR), National Institutes of Health, Bethesda, MD 20205/

Laboratory Animals. ARCF policy requires that laboratory animals not suffer unnecessary discomfort, pain, or injury. Applicants using animals in projects or other activities supported with funds from ARCF grants are responsible for the humane treatment of animals. Each applicant must assure the ARCF in writing that it will follow the standards established by the Animal Welfare Act and by the documents entitled “Principles for Use of Animals” and “Guide for the Care and Use of Laboratory Animals,” which are available from the Office for Protection from Research Risks. Each applicant must assure in writing that he has established a review committee to assist in the fulfillment of this commitment.

Funding

When a grant has been approved for funding, the payment will be made on a quarterly basis on or before the first of the due month.

The ARCF reserves the right to recall funds granted for a project, if they are being misused or if sufficient progress is not being made.

GENERAL INSTRUCTIONS

Submission of Application Forms

Use English only and avoid jargon and unusual abbreviations. Type the application, using single spacing and black ribbon; stay within the margin limitations indicated on the form and continuation pages. Continuation pages must be 8 ½" x 11", good quality, white bond paper. Draw all graphs, diagrams, tables, and charts with black ink. Do not include oversized documents, graphs, diagrams, tables, and charts in the body of the application; submit them in an appendix.

Mail or deliver the completed and signed, typewritten original and four (4) photocopies of the application and any Appendix materials to:

American Respiratory Care Foundation
9425 N MacArthur Blvd #100
Irving, TX 75063-4706

Do not submit an incomplete application. Do not submit additional material pertinent to an application after the receipt date, unless it is requested or agreed to by prior discussion with the Chairman of the ARCF Board of Trustees.

A complete application may be submitted at any time during the year. The ARCF Board of Trustees will utilize appropriate AARC Committees and consultants to assure a complete review. Applicants will be notified within six months of receipt of application whether or not their grant will be funded. Funding can begin within three months of Board of Trustee approval of the grant.

Progress Reports

Summary reports must be submitted on a quarterly basis, with the first report due three months after grant approval and must be properly identified with the number, title, and name of the principal investigator. A financial record or expenditures against the grant fund must be included. Published reports about the project must acknowledge the support of the ARCF; five (5) reprints of such reports must be sent to the ARCF upon publication.

SPECIFIC INSTRUCTIONS

Form - 1

Title of Application. Choose a title that is descriptive and specific, rather than general. Do not exceed space allotted.

Name of Principal Investigator/Program Director. Name the one or two persons responsible for the conduct of the project. This allows for those circumstances in which a respiratory therapist or technician is doing the research under the director of a physician or program director where the therapy worker is a co-investigator joining the primary investigator in a larger project or program.

Social Security Number. Self-explanatory.

Mailing Address. Self-explanatory.

Position Title. If the principal investigator/program director has more than one title, indicate the title most relevant to the proposed project.

Program, Service, Laboratory, or Equivalent. Indicate the organizational affiliation, such as Respiratory Care Division, Respiratory Therapy Training Program, Respiratory Care Laboratory, Pulmonary Division, Anesthesiology Section, Jones Science Institute.

Telephone. Self-explanatory.

Major Subdivision. Indicate the school, college, department, or other major subdivision, such as Department of Medicine, Anesthesia, Surgery, Engineering, Nursing, or Public Health.

Human Subjects, Derived Materials, or Data Involved. If studies involving human subjects, derived materials, or data which contain personal identifiers, or which can be linked to personal identifiers, are neither planned nor contemplated, check the box marked "NO". If studies involving human subjects, derived materials, or data are planned or contemplated, check the box marked "YES". Submit with the grant application a letter from the institution review board

stating that the institution will comply with HHS regulation 45 CFR 46 regarding human subjects in research.

Total Direct Costs Requested for Project Period. Self-explanatory (please include a detailed budget).

Performance Sites. Indicate where the project will be conducted. If there is more than one performance site, list them all and provide an explanation on the Resources and Environment page of this application.

Inventions. Unless the box marked “NO” is checked, list in the progress report section of the research plan the titles of any inventions conceived or reduced to practice during the course of the project. It is important that when an invention is conceived or reduced to practice, an invention report be submitted as soon as possible to the ARCF and the Patent Branch, Office of the General Counsel, DHHS, Westwood Building, Bethesda, MD 20205. Failure to report promptly prior to publication may result in the loss of valuable invention rights. Statutes preclude obtaining valid protection after one year from the date of a publication that discloses the invention. Any invention conceived or reduced to practice during the term of the grant will be the property of the ARCF, provided prior commitments by employment contract do not preclude this.

Application Organization. Name the organization that will be legally and financially accountable for the funds awarded.

Type of Organization. Self-explanatory.

Fiscal Officer of Applicant Organization. This is the person who, along with the official signing for the applicant organization, has fiscal responsibility for the funds and to whom the award checks will be sent.

Official Signing for Applicant Organization. Self-explanatory.

Principal Investigator/Program Director Assurance. Self-explanatory.

Certification and Acceptance. Self-explanatory.

Abstract of Research Plan. Self-explanatory.

Form - 2

Table of Contents. Self-explanatory.

Form – 3

Research Plan.

Form – 3

Organize Sections A-D of the research plan to answer these questions. What do you intend to do? Why is the work important? What has already been done? How are you going to do the work? The suggested format is:

- A. **Specific Aims:** State concisely and realistically what the research described in this application is intended to accomplish and/or why hypothesis is to be tested. **Do not exceed one (1) page.**
- B. **Significance:** Sketch the background of the present proposal, evaluate existing knowledge, and specifically identify the gaps which the project is intended to fill. State concisely the importance of the research described in this application by relating the specific aims to longer term objectives. **Do not exceed three (3) pages.**
- C. **Preliminary Studies:** Provide an account of the principal investigator's/program director's preliminary studies pertinent to the application and/or any other information that will help to establish the experience and competence of the investigator to pursue the proposed project. The titles and complete references to appropriate publications and completed manuscripts may be listed, and four (4) sets of such background materials may be submitted as an Appendix. Supplementary graphs, diagrams, tables, and charts relevant to the studies may also be submitted as Appendix material. **Do not exceed eight (8) pages for this section, excluding the lists of professional personnel and publications and the Appendix.**
- D. **Methods:** Discuss in detail the experimental design and the procedures to be used to accomplish the specific aims of the project. Describe the protocols to be used and the tentative sequence of the investigation. Include the means by which the data will be analyzed and interpreted. Describe any new methodology and its advantage over existing methodologies. Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the aims. Point out any procedures, situations, or materials that may be hazardous to personnel and the precautions to be exercised. **Although no page limitation is specified for this part of the application, make very attempt to be succinct.**
- E. **Human Subjects, Derived Materials, or Data:** If item 4 on the Face page of the application has been marked "YES", submit the following information:
1. Identify the sources of the potential subjects, derived materials, or data. Describe the characteristics of the subject population such as their anticipated number, age, sex, ethnic background, and state of health. Identify the criteria for inclusion or exclusion. Explain the rationale for the use of special classes of subjects such as fetuses, pregnant women, children, institutionalized mentally disabled, prisoners, or others, especially those whose ability to give voluntary informed consent may be in question.
 2. Describe the recruitment and consent procedures to be followed, including the circumstances under which consent will be solicited and obtained; who will seek it; the nature of the information to be provided to prospective subjects; and the methods of documenting consent. (A sample copy of a consent form may be requested from the ARCF staff if needed for review purposes.)
 3. Describe any potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Describe alternative methods, if any, that were considered and why they were not used.

4. Describe the procedures for protecting against or minimizing any potential risks and include an assessment of their likely effectiveness. Include a discussion of confidentiality safeguards, where relevant, and arrangements for providing medical treatment if needed.
 5. Describe and assess the potential benefits to be gained by the subjects, as well as the benefits that may accrue to society in general as a result of the planned work.
 6. Discuss the risks in relation to the anticipated benefits to the subjects and to society.
- F. **Laboratory Animals:** If laboratory animals have been identified one page 2 of the application, state the species, strains, ages, and numbers of the animals involved. If the animals are in short supply, costly, or be to used in large numbers, provide the rationale for their use and their numbers. Describe the procedures for adequate care of any animals involved. Describe the procedures to avoid unnecessary discomfort, pain, or injury to the animals such as surgical anesthesia, post-trauma analgesia, tranquilizing drugs, and comfortable restraining devices.
- G. **Consultants:** If consultant arrangements have been confirmed in writing, attach appropriate letters from each individual confirming his/her role in the project.
- H. **Consortium Arrangements or Formalized Collaborative Agreements:** Provide a detailed explanation of the programmatic, fiscal, and administrative arrangements made between the applicant organization and the cooperating institutions. Provide a statement that the principal investigators/program directors and the applicant organizations involved in the application have established or are prepared to establish in writing the required inter-institutional agreements. Confirming letters or copies of written agreements may be attached.
- I. **Literature Cited:** Do not scatter complete literature citations throughout the test. Number the references in order of appearance and provide the complete citations corresponding to the numbers in a list at the end of the Research Plan. Each citation must include the names of all authors, the name of the book or journal, volume number, page numbers, and year of publication. **Although no page limitation is specified for this part of the application, make every attempt to be judicious in compiling a relevant and current bibliography. It need not be exhaustive.**

Appendix. Form – 3

Include four (4) sets of the appendix material in the application package. Do not mail this material separately. Identify each of the six (6) sets with the name of the principle investigator/program director and the project title. Appendix material will not be duplicated with the rest of the application, but will be made available to the primary reviewers and to any other reviewer who specifically requests it.

Submit four (4) sets of photographs, oversized documents, or materials that do not reproduce well. Graphs, diagrams, tables, and charts may also be submitted as appendix material. Submit four (4) copies of separate budgets for each applicant organization involved in consortium arrangements or formalized collaborative agreements.

Detailed Budget.
Form – 4

List the direct cost requests in this application, and include an itemized list. Please note that awards are generally limited to \$10,000. Do not include any items that are treated by the applicant as indirect costs, except for those associated with contractual or third-party costs. Do not show the cost-sharing contribution of the applicant.

Personnel. List the names and positions of all personnel involved in the project, both professional and non-professional, whether or not salaries are requested. Estimate the percent of time or effort, or hours per week, spent on the project for professional and non-professional personnel. List the dollar amounts separately for each individual for salary and fringe benefits.

Fringe benefits may be requested to the extent that they are treated consistently by the applicant as a direct cost to all sponsors.

For each professional, state the percent of time or effort, or hours per week, in relation to the total professional activity commitment of the applicant. It is important to note that the sum of the percentages of time or effort to be expended by each individual for all professional activities must not exceed 100 percent. In computing estimated salary charges, an individual's base salary represents the total authorized annual compensation that an applicant would be prepared to pay for a specified work period, whether an individual's time is spent on sponsored research, teaching, or other activities. The base salary excludes income that an individual may be permitted to earn outside of duties to the applicant. The base salary of a professional may be augmented or supplemented by funds from a grant when the individual's status and salary are for a period of less than 100 percent of full-time. Grant funds may not be used to augment salary.

If the individual is appointed on a less than full-time basis for the base salary period, indicate the percentage of full-time appointment, e.g. 50 percent full-time equivalent. Where appropriate, indicate whether the amounts requested for the principal investigator/program director and other professional personnel are for summer salaries or academic year salaries and indicate the formulas for calculating summer salaries.

An applicant has the option of having specific salary and fringe benefit amounts for individuals omitted from the copies of the application that are made available to outside reviewing groups. If the applicant organization elects to exercise this option, use asterisks on the original and four (4) copies of the application to indicate those individuals for whom salaries and fringe benefits are being requested; the subtotals must still be shown. In addition, submit an additional copy of page 4 of the application, completed in full with the asterisks replaced by the amount of the salary and fringe benefits requested for each individual listed. This budget page will be reserved for internal ARCF staff use only.

Consultant Costs. Give the name and institutional affiliate for any consultants who have agreed to serve in that capacity, including consulting physicians in connection with patient care. Briefly

describe the services to be performed, including the number of days of consultation, the expected rate of compensation, travel, per diem, and other related costs.

Equipment. List separately each item of equipment with a unit acquisition cost of 400 or more. If funds are requested to purchase items of equipment that appear to duplicate or to be equivalent to items listed on the Resources and Environment page or items used in preliminary studies, justify the reasons for the duplication.

Supplies. Itemize supplies such as glassware, chemicals, and animals in separate categories. If animals are involved, state how many are to be used, their unit purchase cost, and their unit care cost.

Travel. Describe the purpose of any travel, giving the number of trips involved, the destinations, and the number of individuals for whom funds are requested. Foreign travel will not be supported by ARCF funds.

Contractual or Third-Party Costs. Itemize and enter a total for these costs. Describe and justify all appropriate costs for services purchased for or associated with third parties, including applicable indirect costs. These costs may include, but are not necessarily limited to, consortium arrangements or formalized collaborative agreements.

Other Expenses. Itemize other expenses such as publication costs, page charges, and books by category and unit cost. Itemize and justify such items as patient travel and per diem costs, donor fees, rentals, leases, and computer costs. Reimbursement is allowable for personal expenses incurred by human subjects participating in the project, including travel with an escort if required. This reimbursement is applicable to all classes of research subjects, including inpatients, outpatients, donors, and normal volunteers, regardless of employment status. Payment to volunteer research subjects is not an allowable cost on an ARCF grant.

Biographical Sketch, Other Support, Resources, and Environment.
(Form Additional Pages)

Self-explanatory. Since awards are generally less than \$10,000, other sources of funds for the research are often necessary, and these should be identified.