



# ALZHEIMER'S DISEASE RESEARCH

A PROGRAM OF THE  
AMERICAN HEALTH ASSISTANCE FOUNDATION (AHAF)

## AWARD APPLICATION INSTRUCTIONS

**Applications should be electronically submitted to AHAF by 11:59 PM EST (Washington, D.C.) by the deadline date.**

**Deadlines are posted at <http://www.ahaf.org/research/apply/main.html>**

**Please note that previous applications templates differ slightly from the current version. New items are indicated by red highlighting and preceded by the word *\*NEW\**.**

Questions or concerns may be directed to the a member of the research grants staff by telephone at 1-800-437-2423 or via email at [researchgrants@ahaf.org](mailto:researchgrants@ahaf.org)

The American Health Assistance Foundation (AHAF) is a 501(c)(3) nonprofit charitable organization dedicated to funding research towards understanding, treatment, and prevention of macular degeneration, Alzheimer's Disease, and glaucoma.

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## GUIDELINES IN BRIEF

The goal of the American Health Assistance Foundation research grants program is to advance innovative research promoting advances in the etiology, prevention, and treatments of Alzheimer's disease, macular degeneration, and glaucoma.

This is accomplished by relatively small grants for investigator-initiated research that are designed to allow scientists the opportunity to develop the preliminary data necessary to be considered competitive for larger government or corporate types of sponsorship.

The process is competitive amongst a high volume of applications. Although there is no formal requirement for initial data, the nature of the competitive process is such that applications presenting some amount of preliminary results are at an advantage over proposals that present no early data.

Applications are divided into three parts:

1. The "Research Proposal Document"

This is a portable document format (PDF) file, created from the proposal template document provided on the AHAF website. This file is provided to peer-reviewers for purposes of evaluation.

2. Appendix information (optional)

This class of supporting documents is generally a PDF file containing up to five "in press" or published manuscripts related to the proposal. This file should not contain supplementary data\*, or letters of support/collaboration. This file is provided to peer-reviewers for purposes of evaluation.

\*An exception is made for investigators submitting movie or sound files or similar data that cannot be represented efficiently in the research proposal. These may be uploaded to the AHAF submission website as an 'appendix' file.

3. Submission and uploading

The "Research Proposal Document", appendix information, and any confidential cover letter information, must be uploaded to the AHAF submission websites. The URLs associated with each program are listed at <http://www.ahaf.org/research/apply/main.html>.

As part of the upload process, responses to a number of questions related to the proposal are required. These responses are used for administrative and databasing purposes at AHAF and are not provided to peer-reviewers, but will require that applicants copy some information provided in the "Research Proposal Document" to the AHAF submission websites.

For convenience, a preview of the questions posed on the submission website is provided at <http://www.ahaf.org/research/apply/main.html>. Some applicants may wish to compose their responses to these questions offline, rather than edit them directly on the server.

**\*NEW\* Two additional Letters of Reference (Postdoctoral Fellows Only)**

In addition to the letter of support provided by your mentor, please submit two additional letters of reference from faculty familiar with your studies. These should be emailed as PDF files by your referees **AFTER** you have submitted your proposal to AHAF. Please have your referee email all letters to [referenceletters@ahaf.org](mailto:referenceletters@ahaf.org).

## Summary of Terms and Conditions:

In order to be eligible for an AHAF grant:

- The Principal Investigator (P.I.) position on AHAF Standard and Pilot awards are open to tenure- and non-tenure track investigators of any career-stage who are appropriately trained to lead an independent research study, and are permitted by their organizations to manage grants and supervise any key personnel. Research fellows may serve as PI for Alzheimer's Disease Research fellowships only.
- Funds awarded are to be used solely for research. AHAF does not fund institutional overhead, capital equipment, or construction of buildings. Salary and benefits may be requested for the P.I. and Co-P.I. The Principal Investigator salary request must be the lesser of 25% of the total grant request, or 25% of the individual's salary. Co-P.I. salaries are capped at the lesser of 15% of the total grant request, or 15% of the individual's salary. Salary caps are imposed on the Principal Investigators and Co-Principal Investigators only.
- Postdocs applying for the ADR postdoctoral fellowship may request up to a maximum salary and benefits determined by their institutional salary and benefits, multiplied by their percent effort on the proposal. For example, a Postdoctoral fellow with \$45,000 of salary and benefits who commits 75% effort to a proposal may request a maximum of \$33,750 in salary and benefits.
- AHAF will not fund proposals for which duplicate funding has been awarded and accepted, and will not fund portions of grants that are superfluous, irrelevant, or inconsistent with AHAF policies.
- All awardees will be required to submit yearly financial reports and progress reports. Failure to supply the required reports will result in withholding of funds.
- Collaborators will be responsible for adhering to the project deadlines as set forth by the P.I., submitting all required documentation for the completion of financial and progress reports, conducting research in good standard practices, and ensuring that measures are in place to protect human subjects and/or vertebrate animals in accordance with all relevant regulations.
- Investigators with active AHAF awards, or active AHAF awards held by another person within their larger laboratory group, are ineligible for concurrent AHAF support within the same disease program. Once the active award is closed, the investigator's eligibility is restored. Investigators with an active AHAF award in a given program may apply for an AHAF award in another program. For example, an MDR awardee is not eligible for a concurrent MDR award, but may apply for concurrent support through the glaucoma or Alzheimer's disease research programs.
- AHAF Awards are open to basic science and/or clinical research collaborations. Additionally, the awards are available to domestic and international researchers, as well as collaborations between domestic and international groups.
- AHAF grants are awarded to universities, medical centers, and independent nonprofit research institutions. Grants are not made to individuals. In the event that a PI or collaborator changes employment during the funding period, AHAF should be notified immediately. Continuation of funding at the new institution cannot be guaranteed. Individuals at for-profit ventures may participate as collaborators on AHAF awards that have been made to non-profit institutions.

## Review of Applications:

AHAF uses a peer review system to evaluate all applications. Submissions are evaluated and given a priority score by a scientific review committee comprised of established scientists in fields related to any proposed research. The recommendations of the scientific review committee are subject to final approval by the Board of Directors of AHAF. To ensure that AHAF is funding meritorious research proposals that have a high potential for success, the Board of Directors bases its funding decisions on the results of a formal, rigorous peer-review process.

Rosters of prior committees are published on the AHAF website at <http://www.ahaf.org/research/apply/faqs.html>.

Final status of proposals will be communicated to applicants by the end of March. Declinations are made by e-mail. AHAF staff are not authorized to provide information on priority scores, ranking, or likelihood of funding of applications prior to official notification of applicants.

### **Human/Animal Research Subjects:**

AHAF requires that the Principal Investigator, all Collaborators, Consortium partners, or Sub-Contractors abide by AHAF policy regarding human subject and vertebrate animal research.

Research projects involving human subjects and/or vertebrate animals must meet or exceed standards required for United States of America federal government funding including all rules and regulations developed by the National Institutes of Health. If the proposed research will involve the use of human or vertebrate animal subjects, a signed release from the appropriate committee of the Grantee Institution must be provided to AHAF to demonstrate approval of the proposed research protocol(s) before Grant funds are released. For research conducted in the U.S. this release is satisfied by IACUC or IRB approvals.

If the project is to be funded through an award to a foreign institution or through an individual fellowship award that will support activities at a foreign institution, AHAF requires a statement of compliance from the Grantee Institution that the activities will be conducted in accordance with all applicable local laws and regulations in the foreign country. Such foreign protocols must meet or exceed standards required for United States of America federal government funding for research projects.

### **Public Education:**

AHAF is a publicly supported charitable organization funded by donor contributions and has an active public education program that informs donors and other interested individuals about the research we sponsor. Information provided to the public by AHAF may include the title of the project, the name and institutional affiliation of the Principal Investigator, the amount of the award, and the non-technical project descriptions provided by the applicant. Therefore **any section of the application designated by AHAF as non-confidential should not be used to communicate confidential information.** The submission of the application shall be deemed consent of the applicant and affiliated Institution to the publication of this information should a grant be awarded. Declined proposals will remain confidential in their entirety.

### **Multiple Submissions:**

Please submit only one proposal to any AHAF program in a given review cycle. Multiple submissions to a single program may be administratively declined at the discretion of AHAF. For example, it is permissible to submit one Alzheimer's Disease Research (ADR) proposal, one Macular Degeneration Research (MDR) proposal, and one National Glaucoma Research (NGR) proposal if you so choose. However, it would not be permissible to submit two proposals from the same PI to both the ADR Standard and ADR Pilot award programs, or to submit two proposals to the MDR program, or to submit two proposals to the NGR program.

### **General Formatting Guidelines**

Margins should be set at no less than 3/4" on all sides. Please use Times New Roman font at a size no less than 11 points. The color of the narrative text should be black. Applications must be legible and written in English. Do not use jargon or unusual abbreviations.

Please construct the proposal under the assumption that, if printed, the proposal will be printed on 8.5" x 11" paper rather than A4 size paper.

AMERICAN HEALTH ASSISTANCE FOUNDATION

**INSTRUCTIONS FOR ONLINE SUBMISSION**

**File Sizes**

The submission website will not permit uploads of greater than 9 MB of information for any single application. If you plan on submitting an additional cover letter, the total files sizes of both documents should not exceed 9 MB.

In some cases, greater file sizes may be allowable, but must be approved at least one week prior to the deadline. Please contact an AHAF Research Grants staff member to discuss this.

**Submission Instructions**

The following files can be submitted through the submission website. Please maintain consistent naming conventions when submitting your files.

Document	Naming Convention
Cover Letter (optional)	LASTNAME*_cover.pdf
Research Proposal Document (required)	LASTNAME*_researchplan.pdf
**Appendix (optional)	LASTNAME*_appendix.pdf

\* “LASTNAME” should be replaced with the surname of the PI on the proposal.

\*\*Only one Appendix file should be submitted. Although up to 5 reprints are allowable, these should all be contained in a single pdf file for submission.

**APPLICATION URL**

Please visit the <http://www.ahaf.org/research/apply/main.html> page on our website. A link to the submission site will be available there.

If you experience difficulties, please contact AHAF at [researchgrants@ahaf.org](mailto:researchgrants@ahaf.org) or call 1 800 437 2423 and ask to speak with a representative of the Research Grants Department.

Once logged onto the submission website, you will be asked to supply information related to your proposal. Some questions posed on the online questionnaire will require that you cut and paste information from your research proposal into the website form fields.

Some applicants may prefer to edit their responses to the online questions on their own computer. A list of information requested on the website is available for downloading from the website listed above.

AMERICAN HEALTH ASSISTANCE FOUNDATION

**INSTRUCTIONS FOR COMPLETION OF APPLICATION TEMPLATE**

**Read these instructions completely and carefully.**

**General Formatting Guidelines**

Margins should be set at no less than 3/4" on all sides. Please use Times New Roman font at a size no less than 11 points. The color of the narrative text should be black. Applications must be legible and written in English. Do not use jargon or unusual abbreviations.

Please construct the proposal under the assumption that, if printed, the proposal will be printed on 8.5" x 11" paper rather than A4 size paper.

**FACE PAGE:**

**1. TITLE OF PROJECT:**

Choose a title that is descriptive and specifically appropriate. Do not exceed 55 typewritten spaces. The title should not duplicate the title of any other funded project directed by the Principal Investigator or Co-Investigators.

1a. If this application is a revision from a previous year, please check the box that reads 'Yes'.

**2. TYPE OF APPLICATION:**

Indicate whether this application is for Standard, Pilot, or Fellowship support

**3. PRINCIPAL INVESTIGATOR:**

a.- c. Give the name and highest earned academic and professional degrees and year earned of the one person who will be responsible for the scientific conduct of the proposed research and who will serve as the corresponding author. **List only one person.**

d. Title: If the Principal Investigator has more than one title, give the one most relevant to the proposed project.

Titles that are not intuitively identifiable as being that of a person who is trained and capable of leading an independent research effort should be clarified in the space provided at the bottom of the first page of the application.

Research fellowships are open to Postdoctoral fellows or their equivalents.

e. Affiliation:

- 1) the institution name
- 2) the department or laboratory (examples: Department of Biochemistry, Neuroscience Research Laboratory, etc.), and
- 3) a street address sufficient for postal or overnight courier delivery.

f. Phone: Provide a complete daytime telephone number and fax number for the Principal Investigator.

g. Email: Provide a complete Internet e-mail address. *This will be your principal mode of contact with AHAF, therefore please submit an address that you check on a regular basis.*

#### 4. CO-PI AND COLLABORATORS:

List the names, role (CO-PI or Collaboration), highest earned degrees, institutional affiliation, and email address of individuals who will be responsible for major portions of the proposed research.

Applicants for the Research Fellowship should list their faculty member in this section.

**IMPORTANT: Each Co-PI or collaborator identified on item 4 of the face page should provide a signed Letter of Collaboration summarizing their role in the proposed research and their compliance with all appropriate animal welfare and human subject requirements. This letter should certify that they have agreed to their role as proposed in the version of the application received by AHAF. This letter should be attached to the RESEARCH PROPOSAL document as noted in the table of contents of the application.**

#### 5. VERTEBRATE ANIMALS:

If activities involving vertebrate animals are not planned at any time during the proposed project period, type "N". The remaining parts of item 5 are not applicable.

If activities involving vertebrate animals are planned at any time during the proposed project period, type "Y". In the space indicated, insert the date of approval by the Institutional Animal Care and Use Committee (IACUC) of the proposed use of vertebrate animals and the Animal Welfare Assurance Number. If IACUC review is delayed beyond the submission of the application, enter "pending". Should the application be approved for funding, verification of IACUC approval will be required before funding begins. All supported research, including that of collaborators, must comply with U.S. Federal, and any applicable local, regulations regarding the use of vertebrate animals in research.

#### 6. HUMAN SUBJECTS:

If activities involving human subjects are not planned at any time during the proposed project period, type "N". The remaining parts of item 6 are not applicable.

If activities involving human subjects, whether or not exempt from Public Health Service (PHS) regulations, are planned at any time during the proposed project period, type "Y". In the space indicated, insert the date of approval by the Institutional Review Board (IRB) of the proposed involvement of human subjects and the Assurance of Compliance number. If the planned activities involving human subjects are exempt, insert the exemption number(s) corresponding to one or more of the six exemption categories recognized by the PHS. If IRB review is delayed beyond the submission of the application, enter "pending". Should the application be approved for funding, verification of the exemption or IRB approval will be required before funding begins. All supported research, including that of collaborators, must comply with U.S. Federal, and any applicable local, regulations regarding the use of human subjects in research.

#### 7. PROJECT PERIOD:

Enter the start and end dates for the entire proposed project period.

**All awards should be listed to begin on July 1 of the year following the application deadline.**

#### **Maximum award durations are as follows:**

Alzheimer's Disease Research	Standard Award	3 years
	Pilot Award	2 years
	Research Fellowship	2 years

**8. COSTS REQUESTED FOR THE ENTIRE PROJECT PERIOD:**

Enter the total costs for the entire project period. Payments will be released on a quarterly basis, evenly distributed throughout the award duration.

**Maximum award values are as follows:**

Alzheimer's Disease Research	Standard Award	\$133,333/yr (\$400k total)
	Pilot Award	\$75,000/yr (\$150k total)
	Research Fellowship	\$50,000/yr (\$100k total)

In cases where AHAF must choose between funding projects that are of equivalent scientific merit, AHAF reserves the right to consider the value of the request as a criterion.

Peer-reviewers may recommend lower award values or recommend conversion of "Standard" award applications to the "Pilot" award mechanism if only a portion of the proposal is deemed to be a priority for funding.

**9. APPLICANT ORGANIZATION:**

Enter the name, address, and telephone number of the one organization that will be legally and financially responsible for the conduct of activities to be supported by this award. Please use the full legal name of the Institution (*e.g., Regents of the University of Wisconsin, rather than Univ. Wisconsin, U. Wisc., or University of Wisconsin.*)

**10. TYPE OF ORGANIZATION:**

Check the appropriate description(s). AHAF provides grants to non-profit organizations only, including government sponsored research institutions. U.S. applicants should also provide the Federal Identification Number of the applicant organization. This number should be the 9 digit Employer Identification Number.

**11. FINANCIAL OFFICIAL:**

Enter the name, title, and telephone number and address of the person or office to whom correspondence related to the financial matters should be addressed. Please note that International organizations will receive payments by wire transfer, while U.S. domestic payments are made via electronic Automated Clearinghouse (ACH) payments. AHAF cannot wire transfer payments domestically.

**12. INSTITUTIONAL OFFICIAL:**

Enter the name, title, telephone number, fax number, e-mail address and street address of the individual authorized to act for the applicant organization and to assume the obligations imposed by the conditions for this award. The signature of this person will be required.

**TECHNICAL ABSTRACT:**

State the objectives, hypotheses, and specific aims of the proposed research, along with a summary of the proposed research methods. This abstract is meant to serve as a succinct and accurate description of the proposed research when separated from the proposal. Please limit your response to less than 400 words.

**Greek or special symbols should be spelled out (*e.g.* "gamma" instead of  $\gamma$ ).**

**Reminder: This abstract is considered confidential and will only be released for purposes of peer-review.**

**RELEVANCE OF PROPOSED RESEARCH TO THE PROGRAM FOCAL DISEASE:**

State briefly and concisely how the proposed research is relevant to determining the causes of or possible treatment or cure for Alzheimer's disease, macular degeneration or glaucoma.

**INNOVATIVE ASPECTS OF PROPOSED RESEARCH**

State briefly and concisely what you consider to be most innovative about the proposed research or methodology.

**RESPONSE TO PRIOR CRITIQUES/CHANGES FROM PRIOR SUBMISSION:**

If you are resubmitting a proposal declined in the previous year, you may use a **single 8.5 inch x 11 inch page** to discuss changes between the prior submission and the present proposal.

**RESEARCH PLAN:**

*Do not exceed the appropriate page limits/word counts. Proposals exceeding the stated maximums will be subject to dismissal without review. See below for limits.*

- A. Specific Aims.** State the objectives and the hypotheses to be tested and describe concisely and realistically what the specific research described in this application is intended to accomplish.
- B. Background and Significance.** Briefly summarize the background to the present proposal, critically evaluate existing knowledge, and specifically identify the gaps that the project is intended to fill. State concisely the importance of the proposed research by relating the specific aims to the objectives.
- C. Preliminary Studies.** Use this section to provide an account of the principal investigator'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.
- D. Experimental Design and Methods.** Outline the experimental design and the procedures that will be used to accomplish the specific aims of the project. Include the means by which the data will be collected, 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. Provide a tentative sequence or timetable for the investigation, and detail the duties of each collaborator. Point out any procedures, situations, or materials that may be hazardous to personnel and precautions to be exercised.

**IMPORTANT:**

**Word Count limitations on Research Plan Sections A-D**

(literature cited is not included in word counts):

Do not exceed the indicated maximum word counts. Please expect that proposals exceeding the stated maximums will be rejected without review.

Approximate page lengths are provided for general purposes only. Administrative review and acceptance decisions will be based on word-counts.

Alzheimer's Disease Research	Standard Award	7000 words (approx. 10 pages)
	Pilot Award	3500 words (~ 5 pages)
	Research Fellowship	3500 words (~ 5 pages)

**Text associated with captions of Tables, graphs, and photographs must be included within limit.**

Please note that Table of Contents has a section in which you are requested to supply your estimate of the total word count for sections A-D.

**E. Literature Cited.** List literature citations at the end of the Research Plan. Each literature citation must include the names of all significant authors, the name of the book or journal, volume number, page numbers, and year of publication. Article titles should be provided. While there is no limit for this section, *four pages is the recommended maximum page count for the literature cited section.*

#### KEY PERSONNEL:

List all individuals, salaried and not salaried, including the Principal Investigator, co-investigators, and collaborating investigators at the applicant institution or elsewhere, who will commit time to the scientific development/execution of this project. List their position title, role in project, department and organizational affiliation.

#### SPECIFIC AIMS AND BENCHMARKS ACHEIVEMENTS

For each specific aim of your proposal, please provide 1-3 numbered sentences describing the aim. These should be worded identically to their presentation in your research narrative, however Greek or special symbols should be spelled out (*e.g.*, "gamma" instead of  $\gamma$ ).

For each specific aim, note the milestone or benchmark accomplishments that you will use to assess progress on this project.

Please state the time period in which you expect to achieve these benchmarks.

This statement will be referred to during future progress reporting if an award is made.

#### HUMAN SUBJECTS/VERTEBRATE ANIMALS:

Describe briefly and concisely how human subjects and/or vertebrate animals will be used in the proposed research. **If none, so state.** The research plan should provide sufficient details in the proposal so that the use of animals or human subjects in the study can be properly evaluated. Protocols for research involving human subjects and/or vertebrate animals must meet or exceed standards required for Federal funding.

If the proposed research will involve the use of human or vertebrate animal subjects in the research, a signed release from the appropriate committee of the institution must be provided to demonstrate approval of protocol before grant funds are released. Similar releases should be provided for **ANY COLLABORATING INSTITUTION** that will engage in research that involves human subjects or vertebrate animals.

#### **\*NEW\*** TRANSLATIONAL PLAN

AHAF has a strong history of support for advances in basic understanding of disease. AHAF will proudly continue to support such research with the understanding that these advances are fundamentally important to our mission to reduce the impact of disease. Relate your proposed research to that mission by outlining the future administrative and experimental pathways that you will use to translate your research into impact felt at the patient level.

#### STATEMENT REGARDING PROPRIETARY INTERESTS:

State any proprietary interest or other actual or potential conflict of interest in the proposed research on the part of the Principal Investigator, co-investigators, other key personnel, collaborators, or consultants. **If none, so state.**

#### CONSULTANTS/COLLABORATORS:

Identify any consultants or minor collaborators not identified in Face Page Item 4. **If none, so state.**

#### CONSORTIUM/CONTRACTUAL ARRANGEMENTS:

Provide a brief explanation of the programmatic, fiscal, and administrative arrangements made between the applicant organization and the collaborating organizations. **If none, so state.**

#### DETAILED BUDGET:

Prepare separate budgets for each year for which funding is requested. The total requested must not exceed the amount requested. **The budget may not contain administrative overhead or indirect costs**, and should be prepared in US dollars. *Postdoctoral fellowship applications should include a budget even if they are only requesting salary.*

**Personnel:** The Principal investigator, Co-PI, key investigators, and any support personnel (usually postdoctoral fellows, graduate students, or technicians) actively involved in research may request salary and benefits. Such requests should be justified and include indications of the percentage of time the personnel will devote to the proposed project (percent effort).

**Supplies:** The amount of money requested for supplies should be divided into major research supply categories (e.g., cell biology reagents, test fees, etc.) If animals are to be involved, the justification should state how many are to be used, their unit purchase price, and their unit care cost.

**Equipment:** Any major item of equipment valued over US\$1,000, should be included in the budget. AHAF will not fund the purchase of large capital equipment. Requested equipment must be directly related to and enabling of the proposed research.

**Contractual Services:** The Budget should specify any major support services required under the proposed research, such as preparation or laboratory testing of biological materials. The justification should indicate the period of contractual service.

**Travel:** Travel must be relevant to the accomplishment of the project or dissemination of results of the supported research. The purpose of the travel and destination should be clearly indicated, justified, and may not include premium ticketing packages (i.e., first class or other luxury travel).

**Other:** Itemize any other expenses by category. This category is often used by investigators seeking funding to defray costs of publication or registration at conferences where the results of the proposed research are to be presented.

**NOTE REGARDING BUDGET CUTS:** When awards are offered, most budgets are approved as requested. However, in some cases AHAF may elect to make awards for only a portion of the requested budget. These decisions are made on the recommendations of peer reviewers and may manifest as an elimination of specific budget items, proposal aims, or percentage cuts off of the total award value.

**NOTE REGARDING OPEN ACCESS PUBLICATIONS:** AHAF does not require publication in specific journals or attendance at specific conferences. However, as a publicly supported charity AHAF recognizes the contribution of open-access model journals to the scientific community. AHAF grant applicants may request reasonable funds to allow publication in such journals.

#### BUDGET JUSTIFICATION:

Provide justification for all salary requests, equipment purchases over \$1,000, animals and supply categories. Provide a brief explanation of how the budget adequately supports the project described. Additional pages may be used if necessary.

#### FACILITIES AND ENVIRONMENT:

Briefly document the suitability of the available research facilities and academic environment for the execution of the proposed research. Do not list facilities that are irrelevant to the proposed research. Exceptional resources should be noted, but more common resources should be omitted or summarized generically.

#### OTHER SUPPORT:

For each of the Principal Investigator and any CO-Principal Investigator(s), list in three separate groups: 1) all currently active support; 2) all applications and proposals pending review or funding; and 3) applications and proposals planned or being prepared for submission. Include all federal, non-federal, and institutional research, training, and other grant, contract, or fellowship support at the applicant organization and elsewhere. Explicitly, identify any grants that might scientifically or financially overlap the AHAF proposal. **If no support is available or planned, please write “none” in the indicated space.**

Major collaborators should supply currently active and pending support if that support might be considered to be overlapping of the research being proposed to AHAF

If part of a larger project, identify the Principal Investigator/Program Director and provide data for both the parent project and subproject.

For each item, give: a) the source of the support, identifying number, and title; b) percentage of appointment on the project; c) dates of entire project period; d) annual direct costs; e) a brief description of the project.

The applicant(s) must certify whether or not the requested award from AHAF will overlap with any current or pending research funded by other granting organizations. If the requested support overlaps, duplicates, is being replaced by, or supplements the present application please describe and justify the nature and extent of any scientific and/or budgetary overlaps. Further describe any modifications that will be made should the present application be funded.

#### CERTIFICATION OF FUNDING OVERLAP:

AHAF defines funding overlap as a circumstance under which the proposed budget or scientific aims of a proposal is duplicative of the budget or scientific aims of a project funded by another source and led by the individuals responsible for the AHAF proposal. This overlap may be scientific, in which the duplication occurs in the specific aims of the research project, or financial in which another funding source commits money for items documented in the AHAF proposed budget.

#### SUMMARY OF PREVIOUS AHAF SUPPORT:

Provide the grant title, years and amount of all grant support from the American Health Assistance Foundation. Provide a brief statement of research accomplishments and a reference to any publications resulting from the AHAF sponsored research made under these award(s). **If none, so state.**

#### BIOGRAPHICAL SKETCH:

Prepare a National Institutes of Health (NIH) style biographical sketch on the Principal Investigator, Co-Principal Investigator, major collaborators, and the key research staff involved in the study. It is not necessary to include biosketches for technicians or support staff. List relevant training, professional experience, and publications. *Do not exceed two-pages for each investigator.*

#### LETTERS OF COLLABORATION:

Each co-Principal Investigator or collaborator identified on item 4 of the face page should provide a signed, single page Letter of Collaboration summarizing their role in the proposed research. This letter should certify that they have agreed to their role, as proposed in the version of the application received by AHAF. These letters should also certify their compliance with any appropriate animal welfare or human subject regulations. The Letters should be appended to the end of the Research Proposal Document.

## LETTERS OF SUPPORT (Optional for Standard and Pilot awards, Required for Research Fellowships)

When the contribution of a third party investigator does not rise to the level of being an official collaborator, a single page letter of support may optionally be used to document offers of assistance in training, facilities, reagents, *etc.* The Letters should be appended to the end of the Research Proposal Document.

## **\*NEW\*** LETTERS OF REFERENCE FOR POSTDOCTORAL FELLOWSHIPS

For Postdoctoral Fellowships only, one Letter of Support from their faculty mentor is required, and should be appended to the “Research Proposal Document”.

In addition to the mentor’s letter, Postdoctoral Fellows should secure two additional letters of reference from faculty familiar with their work and potential as future independent investigators.

These letters should NOT be attached to the proposal, but must be emailed as PDF files AFTER you have submitted your proposal to AHAF. Please have your referee email their letter to [referenceletters@ahaf.org](mailto:referenceletters@ahaf.org). The email subject should contain the PI last name, and the body of the email should contain the title of the project. Your referee will have up to one week following the deadline to submit their letters. It is the responsibility of the applicant to ensure that all materials are submitted by the correct mechanism and by the appropriate deadline.

## SIGNATURE PAGE:

### PRINCIPAL INVESTIGATOR SIGNATURE:

With this signature, the Principal Investigator agrees to accept the responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application. As described under “LETTERS OF COLLABORATION”, each collaborator identified in item 4 should provide a signed Letter of Collaboration summarizing their role in the proposed research and their compliance with all appropriate animal welfare and human subject requirements. This letter should certify that they have agreed to their role as proposed in the version of the application received by AHAF.

### INSTITUTIONAL OFFICIAL SIGNATURE:

With this signature, the institutional official named in item 12 accepts on behalf of the institution the obligations incurred by acceptance of a grant if one is awarded as a result of this application.

### FACULTY MENTOR (POSTDOCTORAL FELLOWSHIPS ONLY):

The person supervising the training of the Principal Investigator of the proposal should sign here, if the Principal Investigator is a postdoctoral fellow or equivalent trainee.

## APPENDIX :

**The Appendix file should be separate from the main proposal file and should be submitted as a SINGLE .pdf file containing each of the included publications or manuscripts.**

Any appendix information should be submitted as a **SINGLE** separate electronic file and should be named according to instructions in the submission section of this document.

Although submitted as a separate file, please list the contents of any appendix in the Table of Contents of the Research Proposal document.

**Up to five relevant papers or manuscripts *published or accepted for publication* in refereed journals may be included, if necessary. The papers or manuscripts should be the PI's own work or that of a collaborator named on this proposal.**

**Postdoctoral fellows may submit works authored by their faculty mentors.**

Reviewers are not required to consider appendix information. If the information that you wish to submit is essential to an evaluation of the application, incorporate it within the Research Proposal. The Appendix is *not* to circumvent the page limitations in the Research Proposal.

**EXCEPTIONS:**

Unpublished video or sound files representing data that could not be presented in static images and that is pertinent to the proposal may be submitted as an appendix. The file size of such videos is counted in the file size restrictions described in the submission section of this document. In this case, a second appendix document with 5 manuscripts or papers may also be submitted.

VOID

## INFORMATION FOR APPLICANTS: REVIEW POLICIES AND PROCEDURES

AHAF awards grants for research on the causes of, and preventions or treatments for the diseases specified by each of its disease programs (i.e., Alzheimer's disease, Glaucoma, and Macular Degeneration).

Grants are awarded on the basis of the scientific merit of the proposed research and the relevance of the research to improving our understanding of these diseases.

To ensure that AHAF is funding meritorious research proposals that have high potentials for success, the Board of Directors bases its final funding decisions on the results of a formal, rigorous, scientific peer-review process, taking program goals and the availability of funds into consideration.

A full description of the review process and outcomes is available at <http://www.ahaf.org/research/apply/faqs.html>

### General AHAF Review Committee Procedures

AHAF recruits and maintains a Scientific Review Committee (SRC) for each of the three research programs. These committees are comprised of established investigators with the appropriate expertise to provide constructive and equitable evaluations of grant applications. These individuals serve as volunteers but are provided with a small honorarium for the time and effort they put into the review process. Almost all serve on NIH study sections or review committees for other foundations. A roster of individuals having served on each committee in the preceding two years is available at the website noted above.

The AHAF Research Grants Department, in consultation with the Chairman of the each Scientific Review Committee, assigns each proposal to a primary and secondary reviewer based on the expertise of the reviewers and the research area(s) of the proposal. In some cases a tertiary reader is also assigned. All proposals are checked against the pool of available reviewers for real or potential conflicts of interest prior to assignment of the proposal to individual reviewers.

Reviewers are required to decline assigned applications for which they do not have the appropriate expertise and must decline to review applications in which they have a real or potential conflict of interest. These applications are reassigned to other reviewers.

Reviewers may not participate on a committee in any review cycle in which they themselves have submitted a proposal for consideration.

Reviewers are required to keep the information presented in grant applications and the deliberations of the Scientific Review Committee strictly confidential. It is the responsibility of the AHAF Grants Department to communicate with applicants regarding the results of the review process and to serve as the intermediary between the Reviewers and the applicant.

### Review Criteria

Reviewers are instructed to take the following criteria into consideration when reviewing grants:

1. **Scientific merit.** Does the investigator have a clear hypothesis and specific aims? Are the hypothesis and specific aims reasonable in light of current knowledge? Will the experimental design allow the investigator to achieve the specific aims and test the hypothesis? Are the methods clearly explained and appropriate? Has the investigator

addressed satisfactorily issues or concerns regarding the rights of human subjects and/or the appropriate care and treatment of laboratory animals? Can the research proposed be accomplished in the time period of the grant?

2. **Relevance.** Will the proposed research contribute significantly to current knowledge regarding the etiology, diagnosis, or treatment of the program focal disease?

3. **Appropriateness of the budget.** Is the total amount requested reasonable for the research proposed (i.e. neither too high nor too low)? Are the amounts requested for each budget category reasonable? Has the investigator clearly justified the budget requests?

4. **Expertise and experience of the investigator.** Does the principal investigator and/or co-investigator(s) have the appropriate expertise and experience to perform the proposed research? Has the investigator identified an appropriate team of individuals to serve as key personnel, collaborators, or consultants? Has the investigator documented the willingness of collaborators or consultants to participate in the research?

### **Ranking**

As a consequence of high proposal volumes, AHAF may elect to initiate peer-review of proposals in multiple stages. The first stage is used to identify the top proposals considered to be competitive for final award offers. Proposals declined during this process, sometime called triage, will not receive written critiques of their proposals.

All proposals reaching final stage of review receive written critiques of their proposal. These proposals are discussed at a meeting of the advisory committees where they are scored similarly to United States National Institutes of Health study sections. The rank order of priority scores is presented to the AHAF Board of Directors for final funding decisions.

### **Review Results**

Applicants normally will be notified in writing of the Board of Director's decision concerning their application in a letter dated March 31. AHAF staff are not authorized to provide information on priority scores, ranking, or likelihood of funding of applications prior to written notification of applicants. Please do not write or telephone AHAF to request such information.