

ANS Advancing Diversity, Equity, Inclusion, and Accessibility (DEIA) in Otolaryngology and Neurotology Grant

A. PURPOSE

Stevens and colleagues (Stevens FG et al., *J Appl Beh Sci*, 2008) describe the framework for all-inclusive multiculturalism and write, “All-inclusive multiculturalism is an approach that offers organizations a way to overcome the limitations of traditional approaches by cultivating inclusion as a starting point for positive organizational change... Diversity and inclusion initiatives need to be positioned as including all employees... By explicitly including non-minorities in the concept of diversity, an ideological perspective is taken that all groups will enjoy recognition and respect.” As our society becomes more interconnected and intersectional, fostering not just diversity, but also equity, inclusion and accessibility are critical as we seek to elevate care for our patients and advance knowledge in our specialty.

Recently Truesdale and colleagues (Truesdale et al., *Otolaryngol Head Neck Surg*, 2021) identified an “urgent need [for] research seed grant mechanisms in otolaryngology allocated to health disparities, underrepresented minority research, and mentors.” They note that “Academic otolaryngology’s commitment to educating clinician investigators and supporting this science is necessary for advancing diverse researchers (Truesdale et al., *Otolaryngol Head Neck Surg*, 2021).” This call to action is being adopted by the American Neurotology Society (ANS) as an organization committed to incorporating the values of diversity, equity, inclusion and accessibility within its organization structure.

The ANS recognizes that the status quo does not provide equal opportunity to all as it ignores persisting societal structures, practices and barriers that continue to disproportionately disadvantage certain groups. This results in cumulative deficits over the lifetime of these individuals, limiting their entry into our field and progress to the full extent of their abilities. Representation within our specialty of the entirety of the patient population that we treat is critical to our ability to provide care. Diversity can be defined as any dimension that can be used to differentiate groups and people from one another and implies a respect for and appreciation of differences. Diversity is a necessary step towards inclusion and equity. Inclusion can be defined as the state of being valued, respected and supported and is focused on making sure that the right conditions are in place for each person to achieve his or her full potential. Equity in the context of diversity and inclusion, regardless of whether it references those within or outside of our specialty or the patient populations we serve, can be defined as meeting these individuals or communities where they are and allocating resources and opportunities as needed to create equal outcomes for all specialty or community members. Finally, accessibility, especially in a specialty focused on protecting, preserving, and rehabilitating special senses including hearing and balance, refers to the priority we must place on the ability all members (practitioners, trainees, patients) to access expertise/care, training, and education.

The ANS recognizes that prioritizing DEIA in the workforce and workplace may result in some initially negative consequences, including issues with communication, cultural misunderstandings, slower decision making, unmasking of hidden biases, and the possibility that equitable inclusion will be a work in progress. A focus on DEIA amongst our membership and in the way we provide care means that we will continually evolve over time to be more diverse,

equitable, inclusive and accessible and hope that funding initiatives in this arena will establish a basis with which we can grow and evolve as a specialty.

In this funding opportunity announcement (FOA), in an effort to incorporate, recognize, and foster diversity, equity, inclusion, and accessibility within Otolology and Neurotology, the ANS seeks to fund proposals that address these concepts in the areas of *patient care, education, research, and membership*. As it relates to the mission of the ANS, these endeavors will contribute to a better understanding of our increasingly intersectional organization and patient populations and allow for initial steps towards improving alignment of our membership with the needs of our clinical populations. This is particularly important as one focus is to translate knowledge to quality care for our patients.

The ANS encourages proposals which involve innovative team-based approaches that incorporate some aspect of the following:

- 1) diverse and underrepresented in medicine (URiM) team members alongside non-minorities, seeking to model all-inclusive multiculturalism within our specialty
- 2) innovative approaches to identifying and addressing DEIA-related aspects of patient care
- 3) development and implementation of models to improve education and recruitment of URiM within Otolology & Neurotology
- 4) development of innovative research methods to investigate DEIA in our specialty
- 5) implementation of recruitment and retention initiatives related to DEIA in our specialty
- 6) assessment of disparities in otologic and neurotologic clinical care and research
- 7) innovative methods to promote equity in clinical care and research
- 8) investigations of implicit bias in otology/neurotology and its impact on patient care, education, workforce, and academia
- 9) methodological development and measurement of health disparities and social determinants of health to support advancement of health equity.

B. ELIGIBILITY

Applicants may be any member of the ANS in good standing at the time of the application and award. In addition, an applicant who is not a member of the ANS may be sponsored by an ANS member in good standing. At least one member of the grant proposal must be a member of the ANS in good standing. All candidates must be sponsored by the Chair of his/her Division or Department and by an official representative of the institution which would administer the award and in whose name the application is formally submitted.

C. CONDITIONS

Research supported by this award should be specifically directed towards addressing diversity, equity, inclusion, and accessibility in the areas of patient care, education, research, and membership in Otolology and Neurotology. The research aims should seek to advance our knowledge in these areas. Projects must be designed so as to yield useful information within the period of award, but priority will be given to projects that are also innovative with promise to develop into new long range or expanded research programs capable of attracting funding from other sources. Priority will be given to proposals, which if successful, would have a major impact

in developing, disseminating, or implementing innovative and effective interventions and/or strategies that prevent, reduce, or eliminate health disparities and inequities. Applications must be accompanied by a letter of support from the applicant's Department Chair verifying that the applicant will be permitted to devote an appropriate amount of time to the conduct and timely completion of the proposed research project. Applicants must obtain letters of support/understanding from all key personnel on the project. Priority will be given to projects that demonstrate a high degree of team collaboration.

The project period is for one year with a beginning date of July 1. A project period may be extended for another twelve months without additional funds (NCE), if requested by Principal Investigator and approved by ANS Executive Council. A

If the investigator wishes, he/she may submit another grant application the following year to continue the research project. However, all applications, whether new or continuing, will compete with other submitted applications for funds available for the next project period.

A grant may be revoked or terminated by the ANS Executive Council at any time within the project period if it is determined that the Principal Investigator or the Grantee Institution has failed in a material respect to comply with the terms and conditions of the grant.

Changes in project methodology or approach require the approval of ANS Executive Council and will be considered if they expedite achievement of the project's research objective. A letter of request with explanation must be submitted by the Principal Investigator to ANS.

When the Principal Investigator is to be absent for a period of three months or more, or wishes to withdraw from the project or to transfer to another institution, the Secretary/Treasurer of the ANS Executive Council must be notified immediately. Disposition of the grant will be determined by ANS.

D. TERMS

Amount: Up to \$10,000 maximum total cost (1 year)

Period: 12 months.

Use of Funds: Award funds may be used for any legitimate costs associated with the purpose of the award, other than salary support for the Principal Investigator and clerical support. A detailed budget and budget justification constitute part of the application and will be evaluated as an important factor in the review process. If university policy stipulates that a portion of this very modest award must go toward institutional indirect costs, no more than five percent (5%) of the direct costs (with a maximum of \$1000) may be applied for indirect costs. Indirect costs refer to expenses associated with facilities and administration costs. Examples of indirect costs include, but are not limited to utility expenses, communication costs, accounting and legal expenses, and shared monies across institutions. Please refer to the NIH website for specific information on grant budgets. Allowable expenses include consultant fees (e.g., statistician, methodologist); salary support for research assistants or other supporting personnel; computer software or hardware; computer database access fees; and expenses related to presentation or

publication of results. Equipment and supplies purchased with this award become the property of the recipient institution.

Funding Disclosures: ANS will withhold up to ten percent (10%) of the grant until such time that the research project is completed and all requirements have been met, as outlined in section J; Reporting Requirements. This condition must be acknowledged when signing and submitting the terms and conditions contract to release the initial funds.

Notification: Letters of notification will be sent no later than **June 1**. Please do not call or email the ANS office prior to that time to inquire about results.

Starting Date: The funding period will begin July 1 – June 30.

E. FORMAT

The American Neurology Society uses a simplified, and slightly modified and shortened version, of the NIDCD Early Career Research Award (R21) application for this grant program. There are no forms to fill out. Instead, all applications must be formatted using Arial 11-point font, with page margins set to be 0.5 inches circumferentially. The completed application should be submitted in Adobe PDF format. Applications must meet the formatting rules to be considered. Full information, including downloadable biosketch templates and comprehensive instructions, is available from the NIH: <http://grants.nih.gov/grants/how-to-apply-application-guide.htm>

F. SIGNATURES

The original copy of an application must be signed by the person legally authorized to represent the institution in any contractual relationship that might result. This is typically someone in the administration whom the applicant does not know personally. All signatures must be original or verified electronic signatures. ANS grants are awarded to the institution with which the Principal Investigator is affiliated, not to the investigator or his/her division or department. For this reason, it is very important that applicants comply with their institutions' policies with regard to pre-submission processing of grant applications. Applicants are advised to consult their institutions' offices of research administration or sponsored projects for information on processing requirements for an application prior to its submission.

G. APPROVALS

ANS grants are awarded to the institution with which the Principal Investigator is affiliated, unless the individual is an independent practitioner unaffiliated with an institution. For this reason, it is very important that applicants comply with their institutions' policies with regard to pre-submission processing of grant applications. With regards to human subjects research, the project must be reviewed and approved by an institutional review board (IRB) prior to funds being released. Absence of IRB approval by final deadline for funds disbursement (**December 1 of the grant period**) will result in rescinding of grant funding. It is highly recommended that IRB approval be obtained prior to **July 1 of the grant period**. Any changes in the proposed work required by an IRB to secure approval must be submitted to the ANS with the follow-up certification, prior to review or after the work is in progress.

H. DEADLINE

APPLICATIONS MUST BE RECEIVED BY MARCH 1st TO BE CONSIDERED FOR FUNDING IN JULY OF THAT CALENDAR YEAR. This deadline **CANNOT** be waived.

Please allow time to obtain necessary approvals and signatures, verified electronic signatures are permitted. The application should be accompanied by a completed checklist affixed to the face page of the application.

Applications are reviewed by the ANS Research Committee, comprised of ANS Fellow members appointed by the Council, and make recommendations regarding funding to the ANS Executive Council. Final funding decisions are made by the ANS Executive Council, which will meet at the Annual Spring Meeting and funding decisions will be announced soon thereafter.

The American Neurotology Society only accepts grant applications and reference letters electronically. **Please prepare your application electronically and have all supporting documents contained within ONE PDF form.** Please submit your final PDF application by email. Reference letters may be electronically prepared and signed as PDF documents, or may be scanned as PDF documents, in order that they may be included as part of the grant application.

The completed application as described above, is to be submitted via email to the following:
Dr. Stephanie Moody, Chair of the American Neurotology Society Diversity Committee
MoodySA@EVMS.EDU
Dr. Michael Hoa, Chair-Elect of the American Neurotology Society Diversity Committee
Michael.Hoa@gunet.georgetown.edu
Kristen Bordignon, ANS Administrator
administrator@americanneurotologysociety.com

I. FOLLOW-UP

In carrying out its stewardship of research programs, the ANS 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.

J. REPORTING REQUIREMENTS

Recipients of the ANS Advancing DEIA in Otolaryngology & Neurotology Grant are required submit the following reports in line with ANS grant reporting guidelines:

1. A Year-End Financial Report (in US dollars) must be submitted within six months following the termination of the grant period (by December 31). You may use a template from your own institution. For audit purposes and to insure financial and research accountability, this year-end report of expenditures must be completed for each one-year grant project period (July 1 - June 30).
2. A Research Report must also be submitted within six months following the end of the grant period (by December 31)
3. Oral presentation will be required at a designated slot in the ANS meeting at COSM based on appropriate completion of data analysis and submission of manuscript for right of first refusal to Otolaryngology and Neurotology will be required as part of the award of this grant. In addition, public

service announcements containing the applicability of findings from these studies to ANS priorities will be a requisite and will be posted on the ANS website. The recipient(s) is/are encouraged to use the results of the research program as pilot data for the development of an application for a Clinical Investigator Award from National Institutes of Health.

K. ACCOUNTING RECORDS AND AUDIT

Accounting records for the grant should be in accord with the Grantee Institution's accounting practices. A year-end report of expenditures must be completed to show the exact nature of expenditures for each project period and submitted within four months after the end of the grant period (see J.1., above).

L. GRANT PROPOSAL FORMAT

Please write your application using this checklist. Please follow these guidelines carefully:

The American Neurotology Society uses a simplified, and slightly modified and shortened version, of the NIDCD Early Career Research Award (R21) application for this grant program. There are no forms to fill out. Instead, all applications must be formatted using Arial 11-point font, with page margins set to be 0.5 inches circumferentially. The completed application should be submitted in Adobe PDF format. Applications must meet the formatting rules to be considered. Full information, including downloadable biosketch templates and comprehensive instructions, is available from the NIH: <http://grants.nih.gov/grants/how-to-apply-application-guide.htm>

Maximum number of pages permitted	Contents
1	<p>Title page to include:</p> <ul style="list-style-type: none"> • Title of the project • Dates of proposed research (must be 7/1 – 6/30) • Name, address, email, and phone for the Principal Investigator (PI) • Name, address, email, and phone for the Signing Official at the applicant institution • IRB/IACUC approval number or a statement indicating that it will be provided prior to the initiation of funding • Signatures of the Principal Investigator and the Signing Official
1	<p>Cover page to include:</p> <ul style="list-style-type: none"> • <u>Career development statement</u>: State how this award will serve to advance the career of the Principal Investigator (up to 200 words) • <u>Role of the Principal Investigator Statement</u>: State role of the PI in the project (up to 100 words) • <u>Protected Time for Research Statement</u>: Describe the percent effort (days/week) of protected time for research of the PI; percent effort planned to be dedicated to this proposal; and whether the PI has other projects with grant-supported effort (up to 100 words)
1	<p>Budget Page to include:</p> <ul style="list-style-type: none"> • Budget and justification • Statement regarding the percent effort that the PI will allocate to this project • A list of key personnel, their institution, and their roles in the project • Provide a one-year budget that includes salary for support staff (students, post-doctorate fellows, etc.), equipment and supplies. Salaries plus fringe benefits may not be more than 80% of your total direct costs • Do NOT include salaries for principal investigator(s). ANS does not fund these costs. Coverage of indirect costs will not be provided. Meeting registration and a stipend for travel and lodging will be provided for URiM team members as a part of these presentations • Budget should include total amount requested
1	Specific Aims
3	<p>Research Strategy (up to 3 pages) to include these sections:</p> <ol style="list-style-type: none"> 1. Background and Significance 2. Innovation 3. Approach <ol style="list-style-type: none"> a. Detailed Methods b. Pitfalls, alternative approaches and benchmarks for success (address feasibility) c. Timeline

Per NIH guidelines	Biosketches for each key personnel using the latest NIH format
No limit	Letters of support (up to 2 pages per letter) <ul style="list-style-type: none">• If applicable, include letter from research mentor that addresses:<ul style="list-style-type: none">○ Commitment to training and mentorship of the applicant○ How the proposed project differs from funded, ongoing work in the laboratory○ How the proposed project provides a path to independence / additional funding• Include letter of Institutional support (from Department Chair) that addresses:<ul style="list-style-type: none">○ Institutional commitment○ Protected time for research• Include letters from collaborators and key personnel