



**Orthopaedic Trauma Association**  
**6300 N. River Road, Suite 727**  
**Rosemont, IL 60018**

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### **RESEARCH GRANT GUIDELINES**

**A. Fiscal Procedures and Policies:**

1. Facilities to be provided by Grantee Institution:
  - a. The grantee institution is expected to provide all necessary basic facilities and services. These include those 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 the Association:
    - (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 and office equipment
    - (6) Salary of principal investigator, co-principal investigator and of secretarial personnel
    - (7) Worker's compensation, public liability or other hazard and special insurance
    - (8) Employee group life, disability, medical expense or hospitalization insurance
    - (9) Hospital bed expense, nursing or related services, even though used for research studies.
    - (10) Indirect Costs
    - (11) Tuition expenses of personnel on grant.
2. Association funds may not be used for remodeling or building construction costs.
3. Any equipment purchased under Association grants become the property of the institution, unless otherwise specified by the Association before termination of the grant or its extensions.

**B. Budget Policies and Reports:**

1. Reports of expenditures must be prepared one year after receiving the award. For grants extending beyond one year, reports must be submitted every October 1<sup>st</sup> after the award was first issued. The renewal of grant funding for the following year will be contingent on satisfactory progress during the previous funding period. Expenses must be submitted by category, i.e., Salary and Wages, Equipment, Supplies, Animals, Other. Reports should be submitted to the OTA sixty (60) days after the grant has terminated.
2. Research reports must be prepared and submitted with the financial reports.
3. At the expiration of the grant, any unexpended balance of \$100 or more must be refunded to the OTA together with the properly submitted report of expenditures and accompanying

documentation. Because the OTA uses this information for research donor recruitment, annual reports will be requested until the project is no longer active.

4. Separate accounts must be maintained for each grant. These accounts, with substantiating invoices and payrolls, must be available at all times to representatives of the OTA.
5. The grantee must request permission and receive written approval from the OTA prior to making any changes to the approved budget and moving funds between budget categories.
6. The grantee may terminate a grant prior to normal expiration date by notifying the OTA in writing and stating the reasons for termination. Unexpended funds must be returned to the OTA within sixty (60) days, together with a final report of expenditures. The OTA reserves the right to terminate grants at any time upon three months written notice.
7. If a grantee has not completed the project prior to expiration, and for just reason, grantee may submit to the OTA Research Committee thirty days prior to expiration, a request for a no-cost extension, stating reason and requested period of extension. The committee will refer the request and advise the grantee.

C. Policy on Delinquent Financial/Research Reports

The OTA reserves the right to deny additional grants to any individual or institution where after proper notification, an investigator has not submitted his/her final financial and research reports. This policy will be enforced when reports are one year past the final due date (14 months after the project ends). Upon receipt of these reports, the institution shall again become eligible for OTA grants.

D. Policy on Animals in Research

1. The use of animals and the number of animals requested for a project must be justified by the institution. If applicable the grantee must provide IACUC approval, regarding use of and number of animals requested for a project.
2. All animals used in research supported by OTA 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. OTA 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.

E. Policy on Human Subjects in Research

1. The use of human subjects and sample size must be justified. If applicable, IRB statements from the institution's human subjects committee must be provided. IRB approval is required for patients' retrospective reviews and the review of medical records, including radiographic studies.
2. OTA grantees are entrusted to assure adequate protection of human subjects. NIH regulations regarding human subjects should be followed.

F. Policy on Transfer of Grant

3. If the Grant has not started at the first institution and the principal investigator moves to a new institution, the principal investigator can request a transfer of funding to the new institution.
4. If the principal investigator is an orthopaedic surgeon and moves during the course of the grant, the request to take the grant to the new institution will be referred to the Research Committee. The investigator also must submit a letter enclosing resources, personnel and curriculum vitae of investigators at the new institution.

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 OTA, requesting permission to change the procedure and state the reasons for the change. The Grants Board will respond to the principal investigator.

H. Publication

The Association 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 (corporate sponsor, if any) GRANT FROM THE  
ORTHOPAEDIC TRAUMA ASSOCIATION*

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

The OTA imposes no restrictions on copyrighting publication by grantees.