



Frequently Asked Questions—LSDF 08-02

The following questions and answers discuss issues of most likely interest to potential applicants for LSDF 08-02 grants. They may be amended from time-to-time in response to questions received from the community. This FAQ is not a substitute for the LSDF 08-02 Request for Proposals (RFP). The RFP is LSDF's official guide to the requirements for submitting a grant application and its directions should be adhered to strictly. In the event of a discrepancy between these questions and answers and the RFP, the RFP shall take precedence. General inquiries about grant programs and questions about proposal guidelines may be addressed to LSDF by e-mail —programs@lsdfa.org.

A. What are the requirements for submitting an LSDF 08-02 application?

A.1 How are application materials submitted?

Application materials are submitted electronically via an on-line application system accessed through the LSDF website, www.lsdfa.org.

A.2 Is there a pre-proposal process for applying for LSDF grants?

No. A letter of intent is required to be able to submit a proposal. The letter of intent is not a pre-proposal and is not used as a screening mechanism for applications.

A.3 What elements are required for an LSDF application?

Applications consist of two elements: (1) a letter of intent and (2) a proposal, which includes a face page, proposal narrative, budget, and other required attachments.

A.4 What is a letter of intent (LOI)?

The letter of intent (LOI) is the first part of the application process. It is an electronically submitted notification to LSDF of an applicant's intention to submit a proposal. It contains a title, abstract, and keywords for the proposed program, as well as information about the applicant. The LOI does not bind the

prospective applicant to submit a proposal. It is not a pre-proposal. Its purpose is to assist LSDF in planning the review process.

A.5 Can I go beyond the 500 word limit for the LOI abstract in order to include a list of references?

No. Limit the abstract to 500 words and save the references for the proposal.

A.6 Does the LOI require institutional signature?

No. The LOI does not require an institutional signature.

A.7 When is the LSDF 08-02 LOI due?

For LSDF 08-02, the deadline for the LOI is 5:00PM PDT, Wednesday, March 26, 2008.

A.8 Can I submit a proposal if I do not submit an LOI?

No. The LOI is an essential requirement of an LSDF application.

A.9 What is the page limit on the narrative portion of the proposal?

The proposal narrative must be no longer than 25 pages, though shorter narratives are strongly encouraged. Up to five additional pages of references may be appended to the narrative.

A.10 When is the LSDF 08-02 proposal due?

The proposal deadline for LSDF 08-02 is Wednesday, June 4, 2008, 5:00PM PDT.

A.11 Are resubmissions allowed in this competition?

Yes. Applicants who were not funded in a previous LSDF competition may resubmit an application to this competition, assuming it is eligible. In resubmitting a previously unfunded proposal to LSDF, the applicant must indicate this circumstance in space provided within the on-line system and identify the competition in which the proposal was last considered. Resubmissions must also be accompanied by supplementary documents described in the RFP. Applicants should contact LSDF staff if they are uncertain about whether a proposed submission constitutes a "resubmission."

A.12 How may I obtain more information if I have questions?

General information about LSDF funding programs can be sought at

programs@lsdfa.org
206-732-6770.

B. How will LSDF 08-02 proposals be evaluated and selected for funding?

B.1 What criteria will be used to evaluate LSDF 08-02 proposals for funding?

Specific evaluation criteria are described in the RFP. The general criteria for grant awards, however, are consistent with the Fund's goals: to promote scientific competitiveness, improve health and health care, and foster economic growth.

B.2 How will proposals be selected for awards?

Proposal evaluation will be conducted by expert reviewers from outside of Washington State, convened by the American Association for the Advancement of Science. Review will occur in two phases. The first phase will be conducted by expert panels that will provide consensus review of all proposals. In the second phase, a subset of applicants will be invited for interviews with an expert panel that will provide a consensus review of all interviewed proposals. Grant recipients will be selected by the LSDF Board of Trustees from among the applicants interviewed.

The board's selections will be based on reviewer recommendations, the availability of funds, and the goals of the LSDF program. Consistent with these and with its enabling legislation, the board will also consider factors such as the following in making awards:

- diversity of research topics;
- variety of health, health-care, and economic benefits; and
- geographic impact.

Based on its consideration of all these factors, the board will select proposals which in its judgment are the most meritorious.

B.3 Can LSDF funding decisions be appealed?

No. All funding decisions are final and cannot be appealed.

B.4 Will I receive the reviewers' comments on my proposal? The details of the board's deliberations?

Applicants receive the complete review comments and ratings provided by the AAAS expert reviewers. Award selection discussions by the board are in executive session and are not disclosed.

C. Who may apply for an LSDF 08-02 grant?

C.1 Who may apply for LSDF funding under LSDF 08-02?

Applicants must be nonprofit Washington State institutions or organizations, including public and private universities, nonprofit research institutions, public health departments, public and private hospitals and clinics, and health-care systems.

C.2 Can for-profit or out-of-state entities apply?

No, but they may join Washington nonprofit applicants in collaborative proposals.

C.3 Is collaboration required for LSDF proposals?

No, but it is encouraged, to foster a more vibrant and competitive life sciences sector for Washington State.

C.4 Who within eligible organizations may apply?

To be a principal investigator on an LSDF grant, individuals must meet the requirements of their employer regarding such status. The proposal must be signed by an individual (other than the principal investigator) with the authority to commit applicant organization resources to support the proposed program.

C.5 Can a principal investigator submit more than one proposal in a single grant competition?

No, but he or she may serve as a co-investigator on other proposals.

C.6 Does LSDF cap the number of proposals it is willing to review from a single organization?

No.

D. What are some of the most important features affecting applicants for LSDF 08-02 grants?

D.1 LSDF 08-02 invites proposals for innovative "programs." What are "programs," and how do they differ from "projects"?

"Projects" are individual scientific studies, relatively limited in scope, with a sharply defined research focus. "Programs" are strategic research initiatives, broader in scope, designed to address problems within a field of study and to position an organization or organizations for future competitiveness and leadership. Programs funded by LSDF will be characterized by a dynamism and

synergy among participating researchers and organizations that would not exist but for the organization of their efforts into the program.

LSDF 08-02 invites proposals for programs. Proposals for “projects” will not be eligible for this competition.

D.2 What are the size and duration of LSDF grants?

LSDF expects to award \$18-20 million in grants in this competition. There are no restrictions on the dollar amounts or duration of funded grants.

D.3 Which costs are allowable for funding by LSDF?

All costs reasonably associated with the proposed program are eligible to be included in the proposal budget. Such costs include salaries, equipment, facilities and administrative costs, supplies, services, facilities remodeling and grant-related travel.

Costs associated with patient care beyond what is required for program research are not allowed by LSDF.

D.4 Is there a cap on allowable salaries in an LSDF proposal budget?

No, but salaries must be consistent with applicant organization policies.

D.5 Is cost-sharing required?

There is no strict formula for cost-sharing, but LSDF expects that applicant organizations will make tangible resource commitments to support the proposed programs. Such resource commitments demonstrate to LSDF that the proposed program is of strategic importance to the applicant organization and that the organization is invested in helping the program grow to sustainability. Resource commitments may include, but are not limited to, the following:

- creation and support of positions for key programmatic researchers;
- support of technical and administrative personnel;
- provision and improvement of facilities;
- absorption of facilities and administrative costs; and
- matching funds from institutional sources.

D.6 Are there any special expectations regarding budgets for programs involving companies?

In proposals including for-profit collaborating companies, the companies will be expected to pay for their own internal costs associated with program activities and for exploratory research and development activities performed on a best-effort basis. Monies may be subcontracted from the applicant organization to a company for products and services provided as deliverables to the program. For more detailed information, applicants should contact LSDF staff.

D.7 Are LSDF grant competitions carried out in a confidential manner?

Yes. LSDF holds all applications confidential, subject to the public disclosure laws of the State of Washington. For more information, see RCW 42.56 and the amendments to the exemption provisions in RCW 42.56.270(14). LSDF requires grant reviewers to sign confidentiality agreements.

LSDF reserves the right to publicly disseminate information about its granting activities through a variety of means. Such communications may include lists of LOIs and proposals received, the names of PIs and applicant organizations, the field(s) in which the research will be conducted, descriptions of proposals funded, and reports about program progress and outcomes.

D.8 Who owns the intellectual property developed under LSDF-funded research?

Normally, the intellectual property (IP) resulting from funded research will be owned by the applicant organization, not by the LSDF. However, proposals are expected to make clear specifically who will own the IP, who will be responsible for managing it, and in the case of a collaborative program, how rights to the IP will be shared by collaborators.

D.9 Will LSDF fund programs involving human subjects?

Yes. If a proposed program will involve human subjects research, the applicant organization is responsible for ensuring that research sites and studies operate under an appropriate Office of Human Research Protections (OHRP)-approved assurance for the protection of human subjects and comply with all Department of Health and Human Services human-subjects-related policies.

D.10 Will LSDF fund programs involving animal subjects?

Yes. For programs involving vertebrate animal research, the applicant organization must ensure that all research sites and studies hold Office of Laboratory Animal Welfare (OLAW)-approved assurances and approvals.

D.11 Must I already have human subjects approval or animal use approval at the time I submit my application?

No, but the necessary approvals for human subjects or vertebrate animal research will need to have been received prior to execution of the grant agreement.

E. What are some of the most important post-award policies and requirements affecting LSDF 08-02 grantees?

E.1 Do LSDF grants have standard terms and conditions?

Yes. These are the guiding principles which establish the legal procedures and responsibilities for LSDF and its grantees. Specific terms and conditions are established in the grant agreement for individual grant awards. A template grant agreement can be reviewed on the LSDF website at

www.lsdfa.org/grantees/information.html.

E.2 What are some ways LSDF grants differ from federal grants in their expectations and requirements?

LSDF grants are investments with expected returns. They require the establishment of specific milestones and timelines. Their fund-disbursement schedule is phased and contingent upon milestone achievement. Also, they require frequent reporting.

E.3 When will a recipient organization receive funds once a proposal is selected for funding?

Research funding will be disbursed to applicant organizations on a cost-reimbursement basis subject to the achievement of mutually agreed upon milestones and timelines. The grant agreement will include the right of LSDF to withhold research payments if progress reports have not been provided or milestones have not been met in a timely fashion.

E.4 If I receive an LSDF award, will I have to submit progress reports? If so, how often?

Yes. LSDF grants are an investment by the State of Washington in the future of its citizens. Full and timely reporting of the progress and results of funded research by principal investigators has great importance for calculating the returns on that investment. Reporting requirements, specific for each funded proposal, will be finalized in the grant agreement.

LSDF requires the following reports: semi-annual progress reports, annual financial reports, final program and financial reports, and post-project annual reports for a period of five years. Site visits and in-person briefings by principal investigators may be used by LSDF as tools to track the progress of funded programs.