

Life Sciences Discovery Fund (LSDF) 2011 Grant Offerings Frequently Asked Questions (FAQ)

This FAQ addresses key issues for LSDF 2011 grant offerings and may be amended in response to questions received from the applicant community. In the event of a discrepancy between this FAQ and a Request for Proposals (RFP), the RFP shall take precedence. Questions about specific competitions may be addressed to LSDF by e-mail (programs@lsdfa.org) or telephone (206-732-6777).

WHAT'S NEW FOR 2011

- Commercialization grant proposals must describe clearly how the scientific and technical work will be coordinated with development of the commercial opportunity and who will be responsible for such coordination.

KEY FEATURES OF LSDF PROPOSALS

Q: What are the most important features of commercialization grants?

A: Key features of commercialization grants are summarized below (consult the RFP for more information):

Award intent	Fund small-scale, highly targeted studies to advance potential products to a stage appropriate for licensing, start-up company formation or private investment
Scope of work	Limited to a small set of key experiments to reduce the risk of commercialization
Award amount and duration	\$150,000; one year
Funds allocated for 2011	Up to \$750,000 in each of two rounds

APPLICANT ELIGIBILITY

Q: Who may apply for LSDF funding?

A: Applicants must be Washington state entities. Refer to the RFP for more information.

Q: Who within eligible organizations may apply?

A: Applications are initiated by the principal investigator for the proposed activities. Principal investigators must meet the requirements of their employer regarding such status. A completed face page must be submitted with every LSDF proposal; the face page requires the signature of the authorized official (the person with authority to commit the applicant organization to the implementation of the proposed work). Principal investigators may not authorize proposals from their own organizations.

Q: May funds be subcontracted to a for-profit entity?

A: Funds may be subcontracted to a for-profit entity provided that their expenditure by the for-profit entity:

- enhances the grantee's ability to meet the stated goals of the proposed activities;
- brings clear benefit to the grantee organization; and,
- brings clear benefit to the state of Washington.

NECESSITY FOR LSDF INVESTMENT

Q: What does LSDF mean when it asks principal investigators to explain why the proposed work cannot be accomplished without LSDF's investment? Clearly, principal investigators are applying for LSDF support because they need funding for their work.

A: LSDF seeks unique opportunities for investment in activities with strong potential to improve health and health care, research competitiveness, and economic vitality in Washington state. LSDF awards are not intended to replicate or replace funding from other granting sources or from private investors. Principal Investigators must clearly articulate why funding from other sources is not available or applicable for the proposed project and how their work advances the mission of LSDF.

SUBMISSION REQUIREMENTS

Q: How do you apply for an LSDF grant?

A: Pre-proposals and proposals are submitted by principal investigators through LSDF's online application system (<http://www.lsdfa.org/apply/online>). Principal investigators must create an account within the system before applying for the first time.

Q: What is the deadline for submissions?

A: Deadlines and other key dates are summarized in the table below. All submissions are due no later than 5:00 PM Pacific Time on the deadline date. Late pre-proposals and proposals will not be accepted.

	Commercialization Grants – Round 2
RFP Release	December 16, 2010
Pre-proposals due by 5 PM Pacific Time	October 12, 2011
Pre-proposal review meeting/principal investigator (PI) interviews	November 15-16, 2011
Proposals due by 5 PM Pacific Time	January 11, 2012
Commercial review meeting/PI teleconference	March 14, 2012
Board of Trustees proposal evaluation	April 10, 2012

Q: What proposal elements are required?

A: Proposals consist of a narrative, budget, and related attachments.

Q: Are resubmissions of proposals allowed?

A: Yes. There is no limit on the number of times a proposal may be resubmitted. However, a principal investigator may submit or resubmit only one pre-proposal and proposal per competition.

Q: Is submission of a letter of intent required?

A: No.

Q: Is LSDF requiring submission of a pre-proposal for the 2011 commercialization grant competitions?

A: Yes.

Q: Can pictures or diagrams be submitted with the pre-proposal?

A: Yes. An appendix of up to two pages of graphs, tables, charts, photos, or illustrations directly pertinent to the proposed work may be included in the pre-proposal to provide reviewers with a more comprehensive understanding of the proposed work through visual representation.

Q: Do pre-proposals require a signed face page for submission?

A: No.

Q: Can the same individual appear on more than one proposal?

A: Individuals may not submit multiple proposals as principal investigator to the same competition. A principal investigator may serve in an alternate role (e.g., as a co-investigator) on other proposals submitted to the same competition.

Q: Are LSDF grant competitions carried out in a confidential manner?

A: Yes. LSDF holds all applications confidential, subject to the public disclosure laws of the state of Washington (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 proposals received and grants made through a variety of means, but will not disseminate confidential information of grantees without prior permission.

BUDGET REQUIREMENTS

Q: What are the components of the detailed budget?

A: The LSDF detailed budget is similar to the NIH detailed budget format; the personnel category must include the name, role, effort commitment in calendar person months (CPM) and associated salary and benefit information for each person requesting salary support. For the other budget categories, an itemized listing of proposed expenditures by general subcategory is required.

A detailed budget justification must also accompany the detailed budget. The justification should provide sufficient information to allow expert reviewers to determine that the budget is appropriate for the proposed work.

Q: Do co-applicants have to submit detailed budgets as well?

A: Yes, the same detail is required for all co-applicants.

Q: Are there any special expectations regarding budgets for proposals involving companies?

A: Yes. principal investigators must provide justification for expenses incurred by for-profit subcontractors and must describe how the for-profit subcontracted work:

- enhances the grantee's ability to meet the stated goals of the proposed work;
- brings clear benefit to the grantee organization; and
- brings clear benefit to the state of Washington.

Companies requesting subcontract funds are expected to make either financial or significant in-kind commitments to the proposed work. Administrative and facilities expenses incurred by for-profit subcontractors are not reimbursable by LSDF.

Q: Does LSDF pay for indirect costs?

A: Yes. LSDF will not allow the federally negotiated facilities and administration (F&A) rate to be used, but will pay the true and actual costs associated with the proposed activities, such as facilities charges, institutional review board (IRB) review, administrative support, and the components typically associated with F&A.

OTHER APPLICATION REQUIREMENTS

Q: What is the purpose of the "resource/expenditure summary" form?

A: LSDF is committed to leveraging its support against that from other sources. The form allows principal investigators to quantify the value of tangible resources provided by other entities that will facilitate accomplishment of the proposed activities.

Q: Why do the 2011 applications require organizational commitment information in multiple places?

A: Principal investigators capture, quantify, and explain in greater detail the commitments their organizations, co-applicants and collaborators are contributing towards their proposals. Having this information in multiple locations allows the LSDF Board of Trustees to more thoroughly understand the scope of commitments made to individual proposals. There are three separate locations within each proposal where commitments are discussed – the organizational commitments section, the resource/expenditure summary form, and the personnel roster form. It is extremely important for principal investigators to ensure that the information is consistent and clearly presented on all three of the required forms.

Q: Can I substitute an NIH biographical sketch for the LSDF biographical sketch form?

A: No. The forms look very similar, but LSDF requires additional information on its biographical sketch.

HUMAN AND ANIMAL SUBJECTS RESEARCH

Q: Will LSDF fund proposals involving human subjects?

A: Yes. The applicant organization must ensure that all research sites and studies operate under an appropriate Office of Human Research Protections-approved assurance (*i.e.*, Federal Wide Assurance number) for the protection of human subjects and comply with all Department of Health and Human Services human-subjects-related policies.

Q: Will LSDF fund proposals involving vertebrate animals?

A: Yes. The applicant organization must ensure that all research sites and studies operate under an appropriate Office of Laboratory Animal Welfare-approved assurances for the protection of animal subjects and comply with all Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC)-related policies.

Q: Must I have human subjects or vertebrate animal use approval at the time I submit my application?

A: No, but the necessary approvals must be in place prior to initiation of any human or vertebrate animal studies.

Q: Can a proposal include the use of human stem cells?

A: LSDF has no restrictions on the source or use of stem cells, subject to standard institutional/organizational approvals.

INTELLECTUAL PROPERTY

Q: Does LSDF take ownership of intellectual property (IP) developed under activities that it funds?

A: No; normally, IP resulting from funded activities will be owned by the parties that developed it. Any departure from this principle must be described and justified in the

proposal. Appropriate collaboration agreements must be in place according to the milestone schedule within the grant agreement.

Q: Does LSDF share in the financial rewards associated with licensing of IP developed under its grants?

A: Yes. If a funded proposal earns more than 7.5 times the grant amount in licensing and royalty income attributable to IP developed under LSDF funding, the grant becomes repayable.

APPLICATION REVIEW AND FUNDING SELECTION

Q: How will LSDF proposals be evaluated and selected for funding?

A: Proposals undergo external expert review leading to placement into one of three categories based on their recommendation for funding: Not Recommended, Recommended, and Highly Recommended. Final selection of awards is made by the LSDF Board of Trustees. Scientific and technical reviews are organized by the American Association for the Advancement of Science (AAAS). For commercialization grants, LSDF convenes commercial review panels to evaluate pre-proposals and proposals.

Q: Can LSDF funding decisions be appealed?

A: No.

Q: Can I respond to the expert reviewers' comments in my resubmission?

A: Yes; principal investigators are allowed to respond to the expert reviewer critiques.