

Attachment A Instructions

Attachment A is the internal routing and approval form submitted along with an application/proposal for an activity to be performed at the Hutchinson Center (Center) under a Grant, Contract or Other Sponsored Agreement.

Note: Originals of any pages needing Center signatures must accompany a copy of the proposal and Attachment A form.

Please use the most current version of Attachment A. All information requested on this form must be filled in before sign-off can be completed. Do not submit the proposal for sign-off until all information in the form has been provided.

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Instruction updates are noted in pink.

Section 1: General Information

Field	Field Name	Instructions and Notes
1	Quick Entry	These fields are used to quickly enter data into the Financial Management System (FMS) system.
	Date Started Sign-off	The date the proposal is delivered to the appropriate division office
	Sponsor Due Date	Enter the date the proposal is due at the sponsoring agency. If none, write "none". Do not enter ASAP. If the proposal is needed prior to the deadline, please include a cover letter indicating the date the proposal needs to be returned to the investigator.
	Existing Proposal ID	For existing awards, please include the Proposal ID. This can be found on the previous year Attachment A. Note: As this number does not yet exist for any currently active applications, this line should be left blank. OSR will then manually enter the number for which can be used until the end of the project. This number should then be included on all correspondence to OSR.
	Sponsor/Agency Award Number (#)	If this proposal is a non-competing or competing renewal of an existing grant or contract, also enter the full agency number for the year requested (e.g. NIH 5 R01 CA022236-04). This is required for all non-competing applications including Pilot project funding. If you do not have access to this number please contact the Research Coordinator in charge of the project.
	Pre-Award Administrator	Enter the name of the individual to be contacted if there are questions about the proposal during the Center submission and review process. This individual receives the proposal when sign-off has been completed.
	Mail-Stop	Mail-stop where the application should be returned.
	Phone Extension	Extension where all calls regarding the application will be directed.
	eSubmission Portal	Select the portal if the application is to be submitted electronically. Your choices include: Grants.gov, eRA Commons, FastLane, Proposal Central, or Other.
2	Proposal ID Number	FMS generated ID number. This number should be included on all correspondence to OSR once it has been assigned.
	Assigned Reviewer	Assigned OSR Specialist in charge of reviewing the application for compliance.
	Level 1 Approval	Signature of OSR Specialist who has first level application review approval.
	Level 2 Approval	Signature representing OSR and thereby the Center approving the application and signifying it is permissible to submit.

Section 2: Investigator Data

3	Name (investigator's only)	<p>Enter the full name(s) of the individual(s) responsible for the conduct of the study. For multi PD/PI proposals enter the names of additional PD/PI's.</p> <p>A Project Director or Principal Investigator (PD/PI) is the lead scientist for a particular well-defined science project, such as a laboratory study or clinical trial.</p> <p>In the context of federal funding from agencies such as the NIH or the NSF, the PD/PI is the person who takes direct responsibility for completion of a funded project, directing the research and reporting directly to the funding agency. The PD/PI is typically the person who conceived of the investigation but for larger projects the PI may be selected by a team to obtain the best strategic advantage for the project.</p> <p>In the context of a clinical trial a PD/PI may be an academic working with grants from the NIH or other funding agencies, or may be effectively a</p>
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		<p>contractor for a pharmaceutical company working on testing the safety and efficacy of new medicines.</p> <p>The multiple-PD/PI model is intended to supplement, and not replace, the traditional single PI model, and allows applicants and their institution to identify more than one PD/PI on a single grant application. The goal is to encourage collaboration among equals when that is the most appropriate way to address a scientific problem.</p> <p>If the application to be submitted has only one PD/PI that individual should be listed here. In the case where multiple PD/PIs are in place, all should be listed.</p> <p>For fellowship proposals you should enter the names of both the fellow (listed first) and the mentor (listed second).</p>
4	Application Subdivision/Division	Select the Center Division (Administration, Basic Sciences, Clinical Research, Human Biology, Public Health Sciences, Vaccine and Infectious Disease Institute) of the PI(s). For investigators with joint appointments, list the division that will receive credit for the grant and which will be responsible for sign-off.

Section 3: Application Information

5	Title	The title of the proposal/research project as presented to the sponsoring agency must be included.
	Sponsor	Enter the name of the sponsoring agency to which the PI is directly applying, (e.g. NIH); Note: if the application is a subagreement, then the Prime institution is the sponsor. (E.g. a proposal will be submitted as a subaward/subcontract to the University of Washington (UW), UW is listed as the agency followed by the prime award number if known UW/R01CA12345.
	Project Period From/To	Enter the proposed start date of the proposal. The end date is often based on the number of years the sponsor will fund a project before the competing process begins again. For competing applications, enter the entire project period.
6	Requested Direct Costs	If the application is a competitive one, enter the direct costs requested for the first year of this proposal. For non-competing proposals, enter the direct costs requested for the upcoming non-competing year. This amount should be the same as that completed on the proposal face-page (if included).
	Requested Total Costs	Enter the total costs [direct costs and Facilities and Administrative (F&A) costs] for which funding is requested for the first year of this proposal if competitive. For non-competing proposals, enter the total costs for the upcoming non-competing year requested. This amount should be the same as that completed on the proposal face-page (if included).

Section 4: Post Award Department Contact

7	Name, Extension, Mail Stop	Enter the name, extension and mail-stop of the individual who will have overall administrative responsibility for any award resulting from this proposal.
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Section 5: Submission Type and Award Mechanism

Mechanism

8		Select the type of application from the pick list. REQUIRED FIELD
	(CRA) Clinical Research Agreement	A CRA is a research project sponsored by a commercial sponsor for work with a commercial research entity (e.g. a drug company or other for-profit). In this case, please complete an Industry Sponsorship Form. Copies of this form can found on the following web page .
	Contract	A legal instrument used to reflect a relationship between the federal government and the recipient whenever the principal purpose of the transaction is to acquire goods and services for the direct benefit or use of the government.
	Fellowship	A training program award for a postdoctoral fellow, graduate student or other trainee to provide subsistence and other research support during his/her training period (normally paid as a stipend instead of a salary).
	Grant	An award that provides assistance in the form of money, property, or both to an eligible entity to carry out an approved project or activity. A grant is an investigator-initiated project where no substantial programmatic involvement is anticipated between the sponsor and recipient during performance of the financially assisted activities.
	Incoming Staff Assignment	A payroll type wherein the UW reimburses the Center for payroll expenses and associated administrative fees incurred for work done by a Center employee on a UW project.
	(NCRA) Non-Clinical Research Agreement	A commercial research agreement for pre-clinical trial work. No human or animal subjects are involved.
	Subaward	An award to the Center from the prime recipient of a grant or cooperative agreement. As a subrecipient, the Center will engage in a portion of the research or perform other programmatic activities that constitute substantive work under the prime award.
	Subcontract	A contract between a prime contractor and a subcontractor to furnish supplies or services for a prime contract or subcontract.

Type

9	New	Select New if the application has never been submitted to this particular sponsor under this title and grant mechanism; includes Pilot project funding. In the case of pilot funding, please select "New" after you have identified whether the parent project is a grant or contract.
	Existing	Select "Existing" if the application has been submitted to this particular sponsor under this title and grant mechanism. If "Existing" is selected, please complete the remaining green sections as needed.
10	ProjID	Please reference the CENTER Project ID number that funds the current year of the project, for all proposals except new and revised proposals. For awards with multiple projects, please enter a single ProjID number.
	Competitive Renewal	Applications that are re-competing for funds or renewal projects that were previously funded by this agency, whose project period is over and for which an applicant is again seeking sponsor support beyond the original project period approved.
	Non-Competing Continuation	Also called a non-competing renewal, this application is an ongoing grant whose award is contingent on a grantee's submitting a progress report (e.g. PHS 2590) to the agency as a condition of getting further support. It continues support in the out years of a grant and does not compete for funds.

	Supplement	Is a request for additional funds either for the current operating year or for any future year recommended previously? A supplement can be either non-competing (administrative) or competing (subject to peer review).
	Resubmission	Formerly called revisions, this is a proposal that was previously submitted but not funded.
	Res #	Identify the number of times this application has been submitted to this particular sponsor under this title and grant mechanism.
	Next Budget Year (To/From)	Identify the next period of funding for which the application is being submitted. (e.g. You are applying for non-competing funds in May for a budget period that will run from 10/1/09-9/30/10)
	Next Bud Ref	For existing projects, please include the next bud ref for the application being submitted. In the case of a pilot project, please contact the award RC if you do not know the bud ref. For the majority of Contracts, Subawards, and Subcontracts, the Bud Ref will always be 01. This is required for all non-competing applications.
11	Internal Pilot Application	Pilot proposals are funded from larger grants or contracts for projects or programs. In most cases, pilot funds are directed to projects that have the potential to develop into projects or small NIH grants.
	Limited Applicant Award (LAA)	LAAs are awards restricted by the Sponsor as to the number of applications, nominations, or proposals the Hutchinson Center can submit. The Sponsor invites the Center to participate and apply for an LAA. The Sponsor requires that the Center reviews pre-proposals or nominations to determine which proposals will be selected for submission to the sponsor. Please note that in addition to checking this box, all other LAA requirements must be completed.

Section 6: Other Data

12	FOA#	An FOA or Funding Opportunity Announcement (includes RFA, RFP, BAA, PA) is the official statement that invites grant or cooperative agreement proposals to accomplish a specific program purpose. FOA's sometimes indicate the amount of funds set aside for the competition and generally identify a single proposal receipt date. In the case of an RFP or Request for Proposal announces that the sponsor would like to award a contract to meet a specific need, such as the development of an animal model. RFP's have a single proposal receipt date and are published in the NIH Guide for Grants and Contracts. Please include the FOA number on Attachment A as well as a copy of the announcement or a link where it can be located with the proposal.
	Subject to NIH SNAP	SNAP proposals are a part of a streamlined process to continue support of a Public Health Sciences (PHS)-supported grant. All NIH award notices identify whether the grant is subject to or excluded from SNAP. (Please refer to the appropriate Notice of Grant Award).
	Foundation Relations Initiated	Check this box if the application you are submitting was initiated by the Foundation Relations Office.
	Multi PD/PI at Another Institution	Check if any PD/PI's will reside at another institution.
	NIH Modular	NIH Modular applications are research grant applications requesting up to \$250,000 direct costs per year. Request total direct costs in modules of \$25,000, reflecting appropriate support for the project. There will be no future year escalations. A typical modular grant application will request the same number of modules in each year.

		The Center requires that a detailed budget be included for all NIH Modular applications. Note: the detailed budget is not sent to the NIH, it is for internal purposes only.
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Section 7: Facilities and Administrative Costs

13	76% MTDC (on campus)	It is expected that all research awards will pay the full F&A cost rate applicable at the time expenses are incurred. (Please refer to the section on Use of Divisional or Center Space/Support: full/partial waiver of F&A for reporting the need for Center or Foundation assistance in supporting unfunded F&A costs.)
	Other Rate %	In some instances another rate may be used (e.g. contracts awarded at 73%, CRA's that include a patient care rate to be negotiated). Include percentage. Check if there will be Facilities and Administrative (F&A) costs associated with this project that will not be funded by the sponsoring agency. Then check the appropriate box in this section that indicates the circumstances under which support for unrecovered F&A costs is being requested. Support for unrecovered F&A costs must be approved by the Division, and in some cases by the Center, prior to proposal signoff. The policy for approval of unrecovered F&A costs is described in the "New Unrecovered Facilities and Administrative (F&A) Cost Policy" on the following web page .
	32% MTDC (off campus)	If the work will be performed in Center facilities, the on-site rate is generally appropriate.
	Location/Room	If the work will not be performed in Center facilities, the off-site rate may be appropriate. Indicate where the work will be performed so that the appropriate F&A rate may be applied.

Section 8: Unrecovered/Foregone F&A

14	Unrecovered F&A	It is expected that all research awards will pay the full F&A cost rate applicable at the time expenses are incurred. However, in some instances, this is not possible. In such cases, please refer to the Center's policy on Unrecovered F&A to determine which waiver option is applicable. The Unrecovered F&A Policy can be found here: http://centernet.fhcrc.org/CN/depts/osr/policies/forgonefaa/
	Policy choices A-C	
	A	The investigator is a graduate student, post doc, fellow, or Associate requesting funding primarily for a stipend (other small expenses may be included) or NIH career development award (like the K awards). NOTE: staff scientists may not apply independently for unrecovered F&A costs; they must apply through a faculty member.
	B	The investigator is an assistant member still becoming established in his/her career. NOTE: the investigator should be encouraged to apply for concurrent funding from a source that pays full F&A costs, where feasible
	C	The investigator is in an interim funding situation or anticipated to enter an interim funding period in which the Center would otherwise be supporting the research being submitted. NOTE: the investigator should be encouraged to apply for concurrent funding from a source that pays full F&A costs, where feasible.
	Policy D	The investigator is applying for a prestigious award from one of the organizations in Exhibit A. Choose from the available Agency/Award combinations to ensure compliance with the policy. NOTE: Only the listed agency and its identified related award are eligible under this waiver.
	Policy E	Investigators may apply to the Center Director if their request does not meet the A-D criteria, but does meet the criteria outlined below: The proposed research is pilot funding or supplemental funding that the Center would otherwise be investing its own resources into because the research is of high scientific interest to the division or the Center. The investigator wants to apply for a prestigious award not outlined in D, and does not meet other criteria outlined in paragraph A. When the investigator submits the request to the Center Director, he/she should send a copy to his/her Division Director, and other Division Directors as needed, as these individuals will be consulted. The approximate amount of foregone F&A should be calculated in the request. The Division Director should write an email or memo to the Center Director and indicate approval for the request at the division level and the reasons why the request should be granted. Requests should be made early in the grant application process so that the investigator's time is not wasted if the request is not approved. Please also note, requests to ACS, LLS, and NIH will no longer be automatically approved, but instead must meet the same criteria outlined above.

Section 9: Cost Sharing		
15	Non-Salary/F&A Cost Sharing requirement	Check if Cost Sharing is included in the proposal for items
16	Personnel with mismatched salary and effort check box	Check if any staff members are devoting effort to the project without charging the same level of salary to this project. Add information about these individuals in the next section and include an explanation of the need for this support as indicated. The applicable Division Office approval is needed for this support before signoff can be completed.
	Name/Title	A list of the names, Center titles, and salaries and effort proposed for key personnel working on the project, as well as anyone who has part or all of his/her effort on this project covered by another source of funds. List the names of KP and staff with mismatched salary and effort
	Effort Indicated/Salary Supported	The effort indicated is for this project only and in most cases the % Salary supported will be a matching number (e.g. 5% effort, 5% salary; 5% effort 100% salary (indicating that all of this 5% effort will be recorded should be shown as 5% = 5%)).
	Unsupported Salary	This section is used to identify the salary and effort percentages of all Key Personnel including the PD/PI who must show effort. It is also used to identify any personnel whose salary and effort percentage to do match resulting in unsupported salary. Unsupported salary is the difference between % Salary supported and %effort requested. (E.g. 5% effort, 3% salary equals 2% unsupported salary difference). In this instance you would need to include the name, title, effort %, salary %, unfunded effort % and identify the source/Project ID that will be paying the other 2% of the salary. In some cases you may also be requested by your Division Office for more justification of this cost sharing request. If this is the case, your proposal cannot be signed until full approval has been obtained from the Division and/or Center.
	Source ProjID for unfunded salary	Reference the specific source of unsupported salary support in the last column for anyone with unsupported effort on the proposal. Do not list every account that currently supports the individual's salary, only those supporting the unfunded effort in this proposal.

Section 10: Center Facilities and Resources		
17	De-identified Human Samples/Data	Check "Yes" if this project exclusively involves the use of de-identified Human samples or data. Include the IRO assigned "Not Human Subjects (NHS)" determination number. "No" if it does not.
	Vertebrate Animals	Check "Yes" if this project includes the use of vertebrate animals. "No" if it does not.
	Additional Space	Check "Yes" if this project will require additional space or institutional resources (e.g. freezer storage, access to clinic space, other unusual space requirements, etc.) beyond what is currently allocated to the PI. If so, attach detailed information regarding additional space or resources needed. The Division Office must approve any addition of resources before an award can be accepted. Check "No" if this project will not require additional space or institutional resources beyond what is currently allocated to the PI.

	Renovation of Space	Check "Yes" if this project will require renovations to additional space or institutional resources. If so, attach detailed information regarding renovations needed. The Division Office must approve any renovations before an award can be accepted. Check "No" if this project will not require any renovations.
	Recruitment of additional personnel	Check "Yes" if any additional postdoctoral or other scientific staff will be recruited to the Center for this project. If so, attach detail of the probable rank and principal function of expected appointee. In the proposal, give expected title and indicate by footnote that appointment is pending. The Division Office must approve the addition of this staff. Check "No" if no additional staff member(s) holding a doctoral degree will be recruited for this project.
	Sales Tax Exempt	Effective July 1st, 2006 all supplies and equipment related to, used on, or used to analyze blood, bone or tissue are tax exempt. This includes chemistry, analysis equipment, repair parts for analysis equipment, protective apparel, instrumentation, animals, capital equipment, and other related purchases. Based upon your understanding of RCW 82.08.808 (retail sales tax exemption) and RCW 82.12.808 (use tax exemption) as described on the Center's website please identify if the sales tax exemption should be made available to the purchase of chemicals, materials and medical supplies used in connection with the research on this award. If you check "Yes": <ul style="list-style-type: none"> You are responsible for informing each of the individuals with funds commitment authority on this award of this policy and ensure they are aware of these definitions. Your OSR Specialist will ensure that the applicable resource types are set up during award activation. In order for the sales tax exemption utilization, applicable purchases must be coded by you or your staff to the tax-exempt resource types and be made through the purchase requisition system.
18	Project has non-UW sub(s)	Identify if this proposal includes a subaward or consortium agreement to another institution. If so, a letter of intent from the applicable institution is required. This letter is signed by the business official of that institution and should include a budget for the work to be performed.
	Subawardee Human Subjects/Subawardee animals	If the subaward involves use of the subawardee's human subjects or animal's evidence of approvals for human subjects or live vertebrate animals (Health and Human Services (HHS) 310 form indicating status of review) should be provided by the participating institution with the letter of intent. This information may not be available for Just-in-Time (JIT) applications.

Section 11: University of Washington Involvement

19	UW Faculty are participating in this project	Indicate if faculty members with UW appointments (including those with joint appointments at the Center) are participating in the study. If "Yes", please note how these faculty members are involved in the project. If there are multiple faculty members, it may be necessary to comply with more than one of the below requirements.
	Subaward	The Center and UW will have a subrecipient relationship on this application
	Staff Assignment	The faculty member is considered a joint employee of the UW and the Center and meets the guidelines for a Staff Assignment. A "Proposal for Staff Assignment" approved by the UW must be on file in the CENTER Grant &

		Contract Administration Office before the project can be activated.
	Other	Other can include: Purchased Service or fee for service agreement, non-sponsored projects (salary support for non-staff assignment people), and possibly discretionary flow-thru funds. This would be for all items that don't quite fit into the "regular" subaward category.
	Center has a sub on a UW application	The faculty member is solely an employee of the UW and the Center will reimburse the UW employee for his/her time under a subaward agreement. The UW should provide a letter of intent signed by the UW Office of Sponsored Programs (OSP) to include in the proposal. Whereas the Center is a subawardee under a proposal submitted by the UW - the faculty member is paid at the Center and is included in a subaward to be included in a proposal submitted through the UW. Normal Center signoff is required but no additional UW signoff is needed.
	UW Faculty will devote effort but no costs are included in proposal	University Faculty will devote effort to the study but no costs are included in the proposal for their participation - Since this situation requires that the UW fund this effort with a discretionary source of support, a letter is required from the UW that indicates their willingness to support this effort for the duration of the study. This letter is needed before Center signoff can be completed.
	UW Faculty are advisory only (<1% effort)	University faculty are advisory only – less than 1% effort to be devoted to the study – The faculty member is paid at the UW but will only be involved in an advisory role (e.g. <1% effort).

	Center paid faculty with Joint Appointment are participating in study. No money sent to UW.	Center paid faculty with joint UW appointments are participating in the study. No money will be sent to the UW for this participation - The faculty member is paid at the Center but has a joint appointment at the UW. No money will be sent to the UW, nor will the UW be required to support any part of the salary from its own funds.
	UW space will be used for this project%/location	<p>Check "Yes" if UW space will be used for this study and indicate what percentage of the total project will be performed in UW space. If more than 50% of the work is to be performed at the UW, it is normally expected that the UW would submit the proposal. You must also identify the specific room location where the work will be performed.</p> <p>If the proposal is to be submitted through the Center, full UW review is needed and a letter from the UW indicating their willingness to have the Center as the grantee institution should be sent to OSR to complete signoff of the proposal.</p> <p>Check "No" if no UW space will be used for this study.</p>

Section 12: Environmental Health & Safety		
		Please identify if this funding proposal will utilize any of the following:
20	Radioactive Materials/X-Ray equipment	Check if use of radioactive materials are included in application
	Infectious Materials	Check if use of infectious materials (including recombinant DNA) are included in application
	Select Carcinogens	Check if use of select carcinogens are included in application

Section 14: Conflict of Interest for Covered Individuals		
21	Name	Please identify below all individuals who are "responsible for the design, conduct, or reporting" of the research "Covered Individuals" (CIs). At a

		minimum, the Center requires that CIs include all persons listed as Key Personnel in the grant or contract proposal.
	PSDF Attached	Please check the box if the PSDF is enclosed with the Attachment A and application as it is submitted to the division office.
	Personnel Division	Please choose from the list the division in which the individual sits from a personnel standpoint (e.g. most investigators who work in VIDI are appointed to either CRD or PHS- this would be the division identified.)
22	PSDF Status	For OSR use only

Section 15: Investigator Certifications, Disclosures, and Assurances

23	PD/PI Signature(s)	By signing this form, as the Project Director/Principal Investigator you certify that: <ol style="list-style-type: none"> 1. that the information submitted within the application and any related documentation is true, complete and accurate to the best of your knowledge; 2. that you are responsible for the scientific conduct of the project and will provide the required progress reports if a grant is awarded as a result of the application; 3. that you will report to your Division Director any outside activity or significant financial interest which may arise during the course of this study that could potentially result in a conflict with the work performed under this proposal; and 4. that you understand any false, fictitious, or fraudulent statements or claims made in connection with the application may subject you to criminal, civil, or administrative penalties. <p>Must be signed by all PD/Pis on the application.</p>
	Date	Date Attachment A has been approved and signed by the PD/Pis
	Fellowship/Sponsor Signatures	By signing below, the Fellow and Sponsor certify: <ol style="list-style-type: none"> 1. that the information submitted within the application is true, complete and accurate to the best of their knowledge, 2. that any false, fictitious, or fraudulent statements or claims may subject the Fellow and Sponsor(s) to criminal, civil or administrative penalties; 3. that they will report to their Division Director(s) any outside activity or significant financial interest which may arise during the course of this study that could potentially result in a conflict with the work performed under this proposal; 4. that the award will not support residency training; 5. that the Sponsor(s) will provide appropriate training, adequate facilities, and supervision if a fellowship is awarded as a result of the application; and 6. that if applicable, the Fellow has read the Ruth L. Kirschstein National Service Award Payback Assurance and will abide by the assurance if an award is made.
	Date	Date Attachment A has been approved and signed by the Fellow and Sponsor

Section 16: Center Signatures and Approvals

24	PHS Department Head	Signatures are those of Center staff members that are required to review and approve the proposal during the signoff process. All Attachment A's must be signed by at least the PI, and the Division Representative. The Program Head's signature is only required for PHS proposals. IRB/IACUC review and approval is required for all proposals.
	Divisional Representative	
	IRO	

	EH&S	
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