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GUIDELINES FOR SUBMISSION OF GRANT AND CONTRACT PROPOSALS AND
ESTABLISHMENT
OF INTERINSTITUTIONAL AGREEMENTS FOR RESEARCH UNDER THE
AGREEMENT BETWEEN THE UNIVERSITY OF WASHINGTON AND
SEATTLE INSTITUTE FOR BIOMEDICAL AND CLINICAL RESEARCH

It is the intention of the University of Washington (UW) and the Seattle Institute for Biomedical
and Clinical Research (SIBCR) under the Inter-institutional Agreement dated April 6, 2004 that
there will be joint SIBCR and UW approval of proposals for grant and contract awards that
involve UW regular or research faculty based at SIBCR/VA Puget Sound Health Care System
(VAPSHCS). In addition appropriate mechanisms will be established to support the costs of
research and educational activities conducted under the auspices of the Inter-institutional
Agreement. In accordance with the Inter-institutional Agreement the following guidelines are
established to (1) standardize the procedures used for proposal signoff and maximize the
efficiency of this process and (2) to establish appropriate mechanisms for sharing costs of
activities performed under the Inter-institutional Agreement. The language of the Inter-
institutional Agreement will control in the event of any inconsistency between it and this
document.

1. **Determination of Grantee Institution:** As outlined in Section 32 of the inter-institutional
agreement, SIBCR and UW shall jointly determine which institution shall be the recipient of
grants or contracts on which regular or research UW faculty and SIBCR members are
principal or co-principal investigators. The usual determining factor shall be the primary
location of the proposed work. The institution whose facilities and resources are to be
utilized to the greatest extent shall normally be the primary recipient of the award.

All non-VA training support will be administered through the UW whether or not they meet
the 50% rule, unless a joint agreement between SIBCR/VA and the UW Department to
administer the support through SIBCR is made at the time of submission of the grant.

2. **Use of Subcontracts, Joint Personnel Agreements (JPA) and Other Similar
Agreements:** Where applicable, appropriate subcontracts, JPAs or similar agreements shall
be used to provide compensation to the secondary institution that is, the institution that is not
the primary recipient of the award.

A. A **JPA** will be used to compensate for salary, benefits and related personnel expenses for
individuals who are employed by either the UW and/or SIBCR but are providing effort to
be compensated through a grant held by the other institution. JPAs should not be used
for non-personnel expenses (excluding tuition & other trainee fees) which are handled
under a subcontract or other appropriate mechanism. Each JPA covers a specific
individual for a specific project and is nontransferable.

Use of a JPA will be limited to the following types of individuals:

a. hold faculty appointments at the University

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b. individuals who do not hold a faculty appointment, the following criteria must be met: (i) the UW and SIBCR must agree (ii) the individual has responsibilities which are critical to the mission of the institution to which they are assigned and (iii) the individual, UW and SIBCR will agree that an individual’s current employment status does not have to change to the institution administering the grant.

c. Have been given a significant commitment of resources or support by the institution to which they are assigned

B. A subcontract will be used to compensate for salary, benefits, related personnel expenses and other expenses (as applicable) for costs deemed to be solely those of the secondary institution.

C. For either a JPA or subcontract the following guiding principles will apply:

a. Both the UW and SIBCR will use a standard subcontract or JPA form or master subcontract and JPA agreement of their respective choice, subject to acceptability of conditions to the other.

b. Both UW and SIBCR will anticipate subcontracts and JPAs, including appropriate budgetary provisions in the proposal, including the appropriate and/or full F&A costs, for the prime award and have these budgets reviewed by the secondary institution prior to submission of the proposal.

c. Where the prime award is held by SIBCR and the subcontract is issued to the UW, the appropriate UW F&A rate will apply.

d. Where the prime award is held by the UW and the subcontract is issued to SIBCR, the subcontract work to be conducted at SIBCR/VAPSHCS facilities, the full SIBCR F&A rate will apply.

e. JPAs for joint employees will include provisions for compensation of salary, benefits and other personnel expenses relating to the individual’s activities at the institution to which they have been assigned. In addition an administrative overhead fee will be paid to compensate the institution responsible for generating the individual’s paycheck for reasonable expenses incurred to produce the paycheck and administer the employee’s benefits. This initial fee will be calculated at 10% of total direct costs per year up to a maximum of $5,000 per year, per JPA and will be applied to all JPAs. This rate can be reviewed at the request of either party and may be changed for prospective JPAs by formal amendment to this agreement.
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D. A general interpretation of these guidelines is outlined below:

Grant/Contract Award to SIBCR and or reimbursement to the UW:

a. JPA: A JPA will be used to compensate for only salary, benefits, and related personnel expenses for individuals on the grant/contract who are employed by UW.  
   1. To support a percent effort of a UW paid faculty who is on the grant.  
   2. To support a UW paid staff who is on the grant

b. Subcontract to UW for salary and non-salary expenses: Subcontracts are used to compensate for salary, benefits, related personnel expenses (as applicable) and other non-salary research expenses located at the UW site.

Grant/Contract Award to UW and or reimbursement to SIBCR:

a. JPA: A JPA will be used to compensate for only salary, benefits, and related personnel expenses for staff on the grant/contract who are employed by SIBCR.

b. Subcontract to SIBCR for salary and non-salary expenses: Subcontracts are used to compensate for salary, benefits, related personnel expenses (as applicable) and other non-salary research expenses located at the SIBCR/VAPSHCS site.

3. **Signoff of Grant and Contract proposals**

A. **Proposals involving contractual arrangements between institutions:** In the case of (1) subcontract where expenses will be reimbursed between the institutions or (2) proposals that will require cost sharing on the part of the secondary institution, **Full signoff** at the secondary institution will be required prior to submission of the proposal by the institution determined to be the recipient of the grant or contract.

   Any requests for cost sharing on a sponsored project will require review and approval by the SIBCR Board of Directors or its designated representatives.

B. **Sign-off for JPAs**

   a. For JPAs for faculty requiring reimbursement to the UW from a grant administered by SIBCR, the appropriate department must verify salary and time and effort availability prior to submission. All information would be sent to the department for review and verification; confirmation should be in writing via email communication.

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Full sign-off will be obtained at the time of award. If an NIH grant, this full-sign off should be done after JIT notification.

C. Procedure for full signoff: Full signoff will include review by the following or their designee:

a. *University of Washington*
   - Department Chair
   - Dean of the School
   - UW Office of
   - Sponsored Programs

b. *Seattle Institute for Biomedical and Clinical Research...*
   - Executive Director*
   - For all but exception noted in 3 A.

c. *Sections required for full sign off*

   All sections of the proposal relating to the secondary institution's participation and other forms normally required as a part of that institution's normal signoff process will be needed to complete full signoff at the secondary institution. A copy of the proposal package will be provided to each reviewer by the program requesting approval. Staff within the approving department, school or program will facilitate the review by forwarding the proposal on to the next reviewer. The secondary institution will indicate its approval by providing a letter of intent to the applicant institution noting its willingness to participate in the study.
These Guidelines are effective from the date that the last party signs it through June 30, 2011. Thereafter it shall be renewed for successive one-year periods (July 1 through June 30). The renewal shall be automatic. This agreement may be terminated at any time upon mutual agreement of both parties, or upon at least 60 days written notice by either party to this agreement.

Agreed to:

[Signature]
Eileen Lennon, PhD
Executive Director
Seattle Institute for Biomedical and Clinical Research

[Signature]
Lynne Chronister
Director, Office of Sponsored Programs
University of Washington

Date: 5/24/10

Updated February 11, 2010