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Colorado can only be a leader in scientific innovation if its most dynamic scientific minds are supported at early stages in their work. The Boettcher Foundation’s Webb-Waring Biomedical Research Awards program aims to support scientific innovation in Colorado by providing biomedical research funding for early-career investigators at the state’s research institutions.

Created in July of 2008, the Webb-Waring Biomedical Research Awards program is the result of an innovative agreement among the Boettcher Foundation, the Webb-Waring Foundation for Biomedical Research and the University of Colorado. This document serves to describe the program, articulate the major goals of the program, and provide guidelines to research institutions and eligible applicants.

The Boettcher Foundation’s Board of Trustees has determined that the proceeds of the Webb-Waring Biomedical Research Awards program will be directed to support Early-Career Investigators engaged in biomedical sciences in Colorado. Grants of $235,000 covering up to three years of research activity will be funded with the intent to provide independent research opportunities to promising and talented investigators. Successful projects will lead to independent research, thus making investigators competitive for major awards from federal agencies and private foundations. Early-Career Investigators (ECI’s) are faculty members who are four years or fewer from their first academic appointment. This program is designed to help recruit, retain, and advance scientific talent within Colorado and will be implemented in partnership with public and private nonprofit institutions that have significant biomedical research programs. The grants are anticipated to support the work of the “best and brightest” within the cohort of ECI’s in Colorado. This work will be significant in scope and impact, and the grants will provide support for major efforts in biomedical science. Eligible investigators will apply through competitive processes established within their individual institutions.

The foundation, its trustees, and institutional partners deliberated for more than two years on the best way to acknowledge and celebrate the scientific and public service legacy of the Webb and Waring families. This program will ensure that these legacies live on in the discovery of new knowledge that improves human health and in the advancement of talented young scientists. The program enhances the mission of the Boettcher Foundation, which invests in the promise of Colorado and the potential of Coloradans.

On an annual basis, the foundation will announce the establishment of pre-allocated grant amounts to: University of Colorado, Colorado State University, National Jewish Health, and a pool from which other eligible Colorado institutions can apply. The proceeds of the funding area within the foundation are used primarily to create these four pools, which are essentially limits against which
each institution is invited to submit proposals for funding to the Boettcher Foundation. In order to guarantee the excellence and quality of funded programs, each institution will manage a competitive internal process characterized by the time-honored peer review process. The approach that employs a pre-allocation to research institutions is somewhat novel and is explained in detail in these guidelines.

Program description

General Approach of the Foundation

The foundation looked at issues and funding gaps at each stage along the biomedical research continuum. After much deliberation, a program to support Early-Career Investigators (ECI’s) presented the best opportunity for investment through the Webb-Waring Biomedical Research Awards program. Further, the foundation determined that a definition of biomedical research was needed to further refine the intent of the program to support research conducted by ECI’s that has a direct link to improving human health.

Definition of Biomedical Research

There is no single definition of biomedical research that is generally accepted by the entire research community. Therefore, an important component of the work of the foundation was to provide some precision to the meaning of the terms within the context of the principles and objectives. Therefore, the following definition has been adopted:

The biomedical research supported pursuant to this grant program will be designed to find ways to prevent disease and improve human health through basic and applied biomedical research. The intent of the program is to fund meritorious research that has the potential for new discoveries or advances a discovery to the proof of its potential value as an application to improve human health. This research will improve the understanding, treatment and prevention of human disease.

Early-Career Investigator Awards

Early-Career Investigators – At the beginning of the biomedical research continuum, these promising researchers have spent their early years working in the laboratories of senior scientists, and they are ready to contribute original work to the biomedical knowledge base. It is difficult to compete for significant independent federal or private grants without the reputation and experience of senior researchers. In fact, recent studies indicate the average age at which a biomedical researcher received his/her first peer-reviewed RO1 grant is 44. This is causing Early-Career Investigators to leave the academic setting out of frustration about the lack of career advancement and to turn to industry for opportunities. Funding for early-career research opportunities is scarce. The federal agencies do sponsor some early-career grants, but the funding is minimal. Relatively small grants to the most promising early-career researchers could catapult a career and open new important areas of
For purposes of this program, an eligible ECI is defined as:

An investigator who is within four years of appointment to his/her career-track academic position, and who has not previously received a major independent research award. It is preferable that applicants be either currently or recently involved in a mentored grant program. A signed letter of offer is acceptable documentation for appointment to a career-track academic position.

In general, the ECI will have received a terminal degree or completed his/her medical residency within the 10 years preceding the application; however, individual institutions can accommodate exceptions on the basis of individual review and consultation. For purposes of calculating eligibility, the ECI’s career-track appointment should have occurred no earlier than four years prior to January 1 of the year in which the program is announced. For example, a program announced in October 2015, and in which awards are funded in July 2016, will include ECI’s whose career-track appointments began no earlier than January 1, 2011.

Participating institutions will post the series of titles that are considered “career track,” but in general these are faculty appointments with significant expectations regarding research, and/or teaching, and/or clinical activities and may be tenure-track or non-tenure track. ECI’s should consult with their institutional contact if there are questions about eligibility. Post-doctoral appointments are not considered career-track appointments.

The definition of independent research awards are discussed in the “Application Requirements” section. An ECI remains eligible for this program if an independent award has not been received before the ECI’s application is forwarded to the foundation.

The intent of the program is to allow the investigator to generate data to be competitive for a major independent research award within three years. The Webb-Waring Biomedical Research Awards program is designed to move the investigator from a mentored grant program to this competitive position.

Pre-Allocation of Funds

The Boettcher Foundation looked for existing best practices to determine an approach to make awards to ECI’s. The mechanism that will be employed is a pre-allocation process that reflects elements of the successful experience of the state’s economic development efforts in their management of Colorado’s bioscience program. Essentially, the process involves an annual pre-allocation of a total award amount to three major institutions and creates a pool for eligible small institutions. The guidelines governing applications from both large and small institutions follow.
PRE-ALLOCATION TO ELIGIBLE LARGE INSTITUTIONS

On an annual basis, the Boettcher Foundation will inform the University of Colorado, Colorado State University and National Jewish Health of the pre-allocated amount that has been determined for the next year. These institutions are described as “large” because of the total amount of biomedical research funding they receive from competitive programs. Together, they represent more than 95% of biomedical research funding in Colorado on an annual basis. This funding, in turn, generates the largest faculty rosters in biomedical research and the most significant physical and regulatory infrastructure. As a result, these institutions are the most likely to employ a critical mass of promising ECI’s.

The total amount of funds available for the Webb-Waring Biomedical Awards program will be announced annually, as well as a pre-allocation to each of these institutions based on the following:

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Institution</th>
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<tbody>
<tr>
<td>70%</td>
<td>University of Colorado System (CU)</td>
</tr>
<tr>
<td>20%</td>
<td>Colorado State University (CSU)</td>
</tr>
<tr>
<td>10%</td>
<td>National Jewish Health (NJH)</td>
</tr>
</tbody>
</table>

100% Total funds allocated to the Webb-Waring Biomedical Awards program for large institutions on an annual basis

The percentages in the table above generally reflect the proportionate amount of biomedical research received across the three institutions from competitive programs. In light of the diversity of funding sources and the number of disciplines involved in biomedical research, an exact determination of proportionate amounts is very difficult. The Boettcher Foundation reserves the right to establish and change these percentages.

Announcement of a pre-allocation amount serves as an invitation from the foundation to these three institutions to submit eligible proposals from ECI’s up to an amount not to exceed the pre-allocation. For example, if CSU is informed that its pre-allocation is $470,000, then the total number of proposals forwarded by CSU to the foundation will be two. With exceptions noted in these guidelines, it is the intent of the foundation to review and provide funding for proposals forwarded in this manner.

Institutions are prohibited from establishing a system of internal pre-allocations wherein the program funds are promised to units (e.g., campuses, schools, colleges, departments, centers or institutes) in advance of an institution-wide competitive process.

Funding recommendations for individual grants will be determined by a peer-review panel within each institution. These panels will be established by the president of CU, the chancellor of CSU, and the president of NJH. Requirements for these processes are addressed later in these guidelines.

In general, the institutions are responsible for a process that prioritizes programs based on merit, which is determined by an internal peer review process. This approach takes advantage of the expertise that exists within Colorado’s research institutions and employs the time-honored peer-review process, which the science community values as the most reliable way to award funds based
purely on scientific merit.

The pre-allocation approach minimizes the administrative resources required by the Boettcher Foundation to support the Webb-Waring Biomedical Research Awards program. The diversity of the scientific disciplines and the complexity of biomedical research would make a single, centralized review process within the foundation a difficult, time-intensive and expensive proposition. The required expertise to make merit-based decisions exists within the faculty of the three large institutions.

PRE-ALLOCATION TO A POOL FOR ELIGIBLE SMALL INSTITUTIONS

The foundation recognizes that other Colorado research institutions have outstanding science programs and that an ECI within one of these institutions may be competitive within the guidelines established by the Webb-Waring Biomedical Research Awards program. Therefore, the foundation will create a pool for these institutions that have a relatively small biomedical research program. Eligible small institutions will be invited to submit applications directly to the foundation. In order to maintain a rigorous selection process, the foundation will only accept one application per small institution annually. Peer reviewers from the three large institutions will convene to serve as a review committee for these applications and this committee will advise the foundation on the meritorious ranking of proposals. The pool established by the foundation will be adequate to fund at least two substantial grants to small institutions over a three-year period. Small institutions are strongly encouraged to send a letter of intent to apply for a grant to the foundation at least 30 days in advance of the deadline for submittal. This will allow the foundation to plan for the review of these proposals and will help avoid delays in making grant decisions.

Eligible small institutions include:

- Belle Bonfils Blood Center
- Colorado School of Mines
- Craig Hospital
- Colorado Mesa University
- Metropolitan State University of Denver
- Regis University
- Colorado College
- University of Denver
- University of Northern Colorado

This list includes institutions that have received biomedical competitive research awards from the National Institutes of Health or the National Science Foundation within the last several years. Other institutions who wish to receive information regarding the pool established under this section should contact the Boettcher Foundation and present evidence of a substantial biomedical research program, appropriate infrastructure and amounts and sources of biomedical research funding. The foundation reserves the right to include or exclude institutions in its annual invitation to submit applications.

It is important to note that formal affiliates of the three large institutions, such as teaching
hospitals or private research institutes, are invited to participate in the program through the internal process of the institution with which they are affiliated.

Institutions that wish to submit applications through this section must also follow an internal review process proscribed in the Internal Review Process and Internal Communications section.

Internal Review Process and Internal Communications

All institutions, regardless of eligibility category, which plan to participate in the program by submitting grant applications to the Boettcher Foundation must document an internal communications and review process. This documentation provides assurance to the foundation that the program has been broadly communicated to eligible ECI’s within each institution and that the communication is accurate in conveying the goals and requirements of the program. Further, this documentation assures the foundation that the internal peer review process involves appropriate scientific expertise and is designed to result in the best possible outcome based on the merit of individual applications.

COMMUNICATIONS

At least two months in advance of the scheduled internal review of applications, the institution will broadly disseminate program information to faculty or other scientists engaged in biomedical research. E-mail announcements and distribution of one-page flyers are the expected minimum forms of distribution of information. In addition, detailed information about the application process, eligibility of ECI’s, a primary contact within the institution, etc., will be posted on the institution’s website. This information will include language provided by the foundation and graphics developed by the foundation for the program. Consistency of information provided across institutions is very important to the branding of the program and the provision of reliable information. The foundation will work with each institution to provide program information suitable for distribution on a timely basis.

Each participating institution must identify a single point of contact for the program and direct all applicants and potential applicants to that contact for all program information and institution-specific requirements of the program.

Each participating institution will also be required to assist in the generation of news releases, public reports and other communications that will promote the program and the work of the ECI’s. Disclosure of potentially proprietary information or information that is reserved for future publication will not be required.

INTERNAL REVIEW

An institution’s internal review process will be appointed, managed and convened by the office of the most senior executive (e.g. chancellor, president, CEO) of the institution. For multi-campus institutions, the office of the system executive will be responsible for the internal review process. In
general, the application and review process should be highly competitive, open, transparent and based on merit. The internal review process must have the following attributes:

- Appointment of a review committee comprised of at least five senior scientists who are acknowledged as distinguished within their fields and institutions. These individuals will commonly have distinguished titles, national awards, leadership positions, and successful scientific laboratories under their supervision.
- All applications that meet minimum eligibility criteria will be reviewed by the committee. A summary of the comments of the reviewers will be provided to each applicant at the end of the review process.
- Criteria to be considered by the review committee includes, but is not limited to:
  - The scientific merit of the proposed work
  - The extent to which the research has the promise to contribute directly to improving human health
  - The preparation of the ECI and his/her ability to conduct independent research
  - The likelihood that the ECI will be more competitive and move into an independent research career after conclusion of the grant
  - The likelihood that the ECI will produce publications, be promoted, or contribute new technology disclosures will be considered
  - The reasonableness of the budget and the appropriateness of the timeframe proposed for the project
  - Other criteria developed by the review committee that are commonly applied in a peer review process.

The institution managing the review process will invite a representative of the Boettcher Foundation to attend meetings of the review committee as an observer. This invitation is to be offered at least two weeks before the review committee meeting is held. The foundation representative will not have a vote in the review process, nor will he/she attempt to influence the deliberations of the committee. This invitation serves to increase the capacity of the foundation to understand current issues and activities in biomedical research and provides assurance to the foundation regarding the integrity of the review committee process. The foundation may or may not accept any individual invitation, but the offer should be made in every case.

The review committee will recommend the forwarding of proposal(s) to the foundation in an aggregate amount of no more than the pre-allocation for that institution. The chief executive officer of the institution will forward proposals to the Boettcher Foundation that he or she approves upon the recommendation of the review committee.

FOUNDATION REVIEW PROCESS

LARGE INSTITUTIONS

The Boettcher Foundation will review proposals received from the large institutions and reserves the right to request additional information or reject individual proposals. However, the foundation
will not conduct a peer review process and expects that the integrity of the institutions’ processes will result in approval of those proposals forwarded to the foundation. The foundation will forward proposals for final approval to the Boettcher Foundation Board of Trustees for consideration. A formal award letter will be sent to all institutions, informing them of the final decision of the Board.

Each large institution will nominate two senior biomedical scientists to serve on a review panel to consider proposals from small institutions. Nominees will be approved by the foundation before they are appointed as members of the review panel. Depending upon the number and type of proposals received from small institutions, the foundation may require the submittal of additional nominees to either expand the panel or create more than one panel.

SMALL INSTITUTIONS

The Boettcher Foundation will convene a review committee comprised of biomedical scientists from the large institutions to recommend action on proposals received from small institutions. This group will use the criteria listed in the previous section to review and recommend action on these proposals. The foundation reserves the right to accept or reject the recommendations of the review group, but generally expects to accept the recommendations of the committee. Before taking action on a specific proposal, the foundation may request additional information from the institution. A letter from the foundation will ultimately inform the institution of acceptance or rejection of the application.
SUMMARY OF THE PROCESS

The following flow chart demonstrates how the review process will work.

- **Foundation determines annual pre-allocation fund amounts**
- **Eligible entities are alerted to the pre-allocation dollar amount being assigned**
- **CU, CSU, NJH conduct internal expert review process**
- **Foundation convenes panel for smaller institution expert review process**
- **Recommendations come to the Foundation**
- **Award decisions made**
- **Foundation evaluates grant impact**

Annual Program Calendar and Deadlines
The annual calendar presented below displays the anticipated events throughout the year. Specific dates will be provided by the foundation each year as a new program cycle begins.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Month</th>
<th>Responsible Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate funds available for awards for the next program year, and all associated costs (staff, recognition event, etc.). Establish pre-allocation formula and reserved funds for awards to small institutions. Determine changes or updates to policies and procedures manual to be effective in the next program year. Annual report from previous year ending in June completed and submitted.</td>
<td>September</td>
<td>Boettcher Foundation Staff and Board of Trustees</td>
</tr>
<tr>
<td>Approve budget, pre-allocation distribution, and associated program costs. Approve changes to policies and procedures. Board receives annual report.</td>
<td>September</td>
<td>Boettcher Foundation Staff and Board of Trustees</td>
</tr>
<tr>
<td>Invitation to submit proposals against a pre-allocation sent to large institutions and invitations to submit proposals sent to small institutions. Changes in policies and procedures published.</td>
<td>October</td>
<td>Boettcher Foundation Staff</td>
</tr>
<tr>
<td>Deadline for submittal of proposals from small institutions. Review Committee convened and recommendations forwarded to foundation staff.</td>
<td>May</td>
<td>Boettcher Foundation Staff and Review Committee comprised of scientists from larger institutions</td>
</tr>
<tr>
<td>Deadline for submittal of proposals from large institutions. Boettcher Staff forwards funding recommendations to Board of Trustees.</td>
<td>May</td>
<td>Boettcher Foundation Staff</td>
</tr>
<tr>
<td>Award notices sent to institutions for new program year. Current program year ends June 30.</td>
<td>June</td>
<td>Boettcher Foundation Staff</td>
</tr>
<tr>
<td>Programs begin funded activity - beginning of program year.</td>
<td>July</td>
<td>Awardees</td>
</tr>
<tr>
<td>Annual reports on funded projects in the previous year ending in June due from recipients / research institutions.</td>
<td>August</td>
<td>Research Institutions</td>
</tr>
<tr>
<td>Annual recognition event for previous year awards. Consult with institutions regarding changes to policies and procedures and implementation issues.</td>
<td>To Be Determined</td>
<td>Boettcher Foundation Staff, Board of Trustees, Institutions and researchers</td>
</tr>
</tbody>
</table>
Early-Career Investigator Application Requirements

The following program parameters are established to provide direction for each proposal. Exceptions will be considered on a case-by-case basis during the consultation process described in these guidelines.

• ECI’s will apply through the process established by the institution at which they are employed. Note: Each participating institution must identify a single point of contact for the program and direct all applicants and potential applicants to that contact for all program information and institution-specific requirements of the program. All applicants are encouraged to review all posted institutional information about the program before completing an application. The foundation expects significant work to be accomplished through each funded proposal and, therefore, has set an award amount of $235,000.
• The period of the award is at least one year and up to three years.
• Allowable expenses include, but are not necessarily limited to:
  › An investigator’s salary and benefits
  › Other salaried personnel
  › Professional services
  › Hourly compensation for laboratory personnel, including students
  › Supplies and materials
  › Equipment not to exceed $5,000 cost for each piece
  › 50% of equipment exceeding $5,000 in cost
  › Services of core laboratories
  › Professional travel
• The maximum Indirect Cost Recovery (ICR) rate is 8% and must be budgeted in each proposal at the level established by the institution up to 8%. Institutions are encouraged to waive the ICR requirement or establish an amount less than 8%. The ICR is counted as a component of total costs and will not be paid over and above the pre-allocated amount provided to each institution.

APPLICATION COMPONENTS

The application outline should be followed for all projects that are submitted by an institution to the foundation. An institution may require additional information from an ECI in the internal application process, but this information should not be forwarded to the foundation.

Cover Letter. This correspondence should include an explanation of the goals of the research project that is suitable for a lay audience and how the project will advance the career of the ECI. The letter should not exceed one page.

Section 1. Relevance to Human Health - half page maximum. Briefly describe the potential relevance/impact of the proposed research to human health in simple layperson terms.

Section 2. Scientific Abstract - one page maximum
Section 3. Investigator Information - six pages maximum and must follow the biographical sketch template provided in the application package as a Word document file. Instructions for completing the biographical sketch are included as an appendix.

For purposes of identifying past and current research projects as “mentored” or “supervised” as compared to “independent,” the following guidance is offered, but is not exhaustive. Questions should be forwarded to the institution’s contact person for the ECI program.

When completing research support section, be sure to include the total grant amount, the start and end dates of the grant and a declarative statement as to whether the grant was mentored or independent.

- A major independent research award is determined to be a National Institutes of Health (NIH) RO1 or similar grant which provides independent research support of at least $125,000 (either single-year or multiple-year award), and which was awarded through a rigorous peer review process conducted by a public or private institution. Multiple independent awards that are each less than $125,000, but that total more than $125,000 will not impact eligibility.
- Training grants, mentored/supervised grants, and career development grants are not considered to be independent awards. There is no limit on the amount of these types of awards that an ECI can receive to maintain eligibility.
- NIH “K” series grants are generally mentored grants, however, the R00 grant which can follow on the K99 grant is an independent award.
- NIH R01 grants are independent awards.

Section 4. Research Plan - Six pages maximum

- Background: The Background and Significance section must not exceed one page. This section should state the hypothesis to be tested and specific aims of the planned work. It should include a brief background for the work and its significance to the biomedical sciences. Long term objectives, including specific plans for application to human health should be described.
- Specific Plan: This section should include a description of research design and methods, including use of animals and human subjects, if applicable.
- Indicate if the research project relies on pilot data or will generate pilot data. If pilot data exists, provide synopsis.
- References are not included in the six-page maximum for this section. References are limited to 50 and must demonstrate: knowledge of the literature, scientific capability of the investigator, and feasibility of the proposed project.

Section 5. Budget - Two pages maximum

- Show anticipated expenditures by category in a chart that shows annual increments. Include ICR if directed to by the institution. Sample:
<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Total Budget Request</th>
<th>Institutional Match</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigator’s Salary and Benefits (as a number and as a % of total)</td>
<td></td>
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<tr>
<td>Travel</td>
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<tr>
<td>Research Supplies</td>
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<td>Large Equipment</td>
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<td>Small Equipment</td>
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<tr>
<td>ICR up to 8% (determined by institution)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
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</tbody>
</table>

Note: Your institution may provide a budget template which will replace this sample.

- Provide a brief narrative demonstrating how the budget supports the research plan.
- Although matching funds are only required for major equipment, please list any institutional match that is being provided in other budget categories.

Section 6. Assurances

- **Applicant.** The applicant will sign and date the following assurance: “I will conduct research supported by the Webb-Waring Biomedical Research Awards program to the highest scientific and ethical standards and in compliance with all applicable regulations and policies regarding protection of human research subjects, humane care and use of laboratory animals, and laboratory safety. I am responsible for the conduct of research and the preparation of research results for publication within the established guidelines of _____________________ (employer).”
- **Institution.** The institution will provide an assurance that it has policies and procedures in place to provide oversight, regulatory control and other policies necessary for the ethical and legal conduct of biomedical research, including policies governing scientific misconduct and conflict of interest. In addition, the institution will submit a statement, indicating that adequate space and related infrastructure will be allocated for the research project, and that it is the intent of the institution to employ the ECI through the term of the project.

Letters of Reference. Provide the following letters of reference with application: a letter from your department chair, dean or other academic authority, a letter from your mentor (if applicable) or advisor, and at least one but not more than two additional letters from researchers outside your institution who can address the merits of the science.

Additional Requirements. Participating institutions may issue additional application requirements or clarify their expectations about required sections. All applicants should access
this information through the institution’s designated contact person.

**Technical Instructions.** All pages must be no larger than 8.5 x 11 inches, have at least a one-inch margin on all four sides, single spaced, Arial font should be used, and font size should be at 11. A header is not required on every page, but pages need to be numbered.

**Institutional Submission Requirements**

**LARGE INSTITUTIONS**

Upon the completion of the internal review process, the large institutions will forward the applications of those proposals that are recommend for funding and which do not total more than the pre-allocation provided to that institution. This submittal will consist of:

- A cover letter from the chief executive of the institution. This letter should provide a list of all applications that are submitted and should note any waiver of requirements that the foundation has previously approved;
- A complete application for each recommended project and any amendments recommended by the institution;
- Documentation of the review process, including the dates and times of meetings, total applications received, members of the committee, and committee summaries of those proposals recommended for funding;
- A summary budget that forecasts expenditures over a period not to exceed 3 years for a total grant of $235,000 for each selected ECI.

Electronic submissions are required in the form of a PDF sent as an email attachment to the foundation contact provided at the end of these guidelines.

**SMALL INSTITUTIONS**

Upon completion of the internal review process, the institution will forward the application of the proposal recommended for funding, which will be guided by the deadlines issued by the foundation for the upcoming program year. The submittal will consist of:

- A cover letter from the chief executive of the institution. This letter should provide a list of all applications that are submitted and should note any waiver of requirements that the foundation has previously approved;
- A complete application and any amendments recommended by the institution;
- Documentation of the review process, including the dates and times of meetings, total applications received, members of the committee, and committee summaries of those proposals recommended for funding;
- A summary budget that forecasts expenditures over a period not to exceed 3 years for a total grant of $235,000.

Electronic submissions are required in the form of a PDF and as an email attachment to the
contact provided at the end of these guidelines.

Boettcher Investigators

• Early-Career Investigators who receive a Webb-Waring Biomedical Research Award will have the title of “Boettcher Investigator.” This is an honorary title, intended to convey excellence in research and outstanding personal achievement. The foundation will require ongoing career information from awardees during and after the completion of the supported research project. This information will include, but not be limited to information regarding: promotions, awards, honors, publications, independent research awards and grants, technology disclosures, patents and licenses.
• In order to create a visible and distinguished cohort of Boettcher Investigators, the Boettcher Foundation will supply laboratory signage and laboratory garb identifying the Boettcher Investigator. The Boettcher Investigator will use the title in biographical information and signature blocks. Appropriate credit for the Webb-Waring Biomedical Research Award will be applied to publications, research reports and other documents, as appropriate. The wording to be used is: “This research was supported by funds from the Boettcher Foundation.”
• Boettcher Investigators will be required to participate in an annual recognition and education event during the term of their Webb-Waring Biomedical Research Award.

Annual Reporting Requirements

The Boettcher Foundation will publish the date that annual reports are due from all participating institutions when it releases the annual program calendar. No later than this published date, each institution will provide an annual report comprised of information requested by the foundation in a format provided by the foundation, and which will include, but not be limited to:

• A summary of scientific progress on the research project, including changes in scope or direction, significant findings and other relevant information.
• A status report on each Boettcher Investigator that includes information from the last year regarding: promotions, publications, technology disclosures, patents, licenses, academic presentations and new grants received.
• A status report on grant expenditures with a forecast of expenditures through the term of the grant. Deviations from the approved budget on any single budget item between 10% and 25% must be highlighted and justified. Note, changes of more than 25% on any one line item require prior approval from the foundation.
• During the year in which a project is completed, the annual report will include a final report for the project that is full and complete and covers the manner in which all grant funds were spent and the progress made in accomplishing the purpose of the grant.

Additional Requirements

REQUESTS FOR CHANGES IN PROJECT SCOPE AND/OR BUDGET
During the conduct of a research project, the foundation recognizes that Boettcher Investigators may need to request changes in the project scope or project budget based on new developments and opportunities. If the scope change is significant, the investigator will submit a written rationale for the change to the institution, which upon approval will forward the rationale to the foundation. The foundation may seek the advice of additional scientific experts in this process. Significant changes can only be implemented upon the approval of the foundation. The definitions of changes that are “significant” include those that redirect the purpose of the research or significantly expand or contract the research plan. Budget changes that are deemed “significant” are those that reallocate more than 25% of a line item in the budget to another item in the budget. The foundation will aim for a timely response to requests for changes, but in some cases may take up to 60 days to make a final determination.

RELOCATION OR CHANGE IN STATUS OF THE BOETTCHER INVESTIGATOR

If a Webb-Waring Award recipient moves out of Colorado or if the status of the investigator is changed such that a research project cannot be completed, the institution will consult with the foundation. This consultation process will determine the best disposition of the project, which may include:

• Terminating the project
• Allowing the investigator to move the project out-of-state and complete it at another institution with continued support from the grant
• Assigning the project to a colleague involved in the project
• Reducing the scope of the project so that it can be completed earlier than planned

The foundation reserves the right to make the final determination regarding the disposition of the project after consulting with the institution.

RECOGNITION EVENT

The foundation will sponsor or co-sponsor an annual recognition event in order to celebrate the legacy of the Webb and Waring families and the accomplishments of the Boettcher Investigators. The participating institutions are expected to assist in the planning and execution of the event, and the Boettcher Investigators are expected to attend and assist with presentations.

DISBURSEMENT AND MANAGEMENT OF FUNDS

The foundation will normally send award letters in June of the program year and grant payments will be issued in July. Conditions on the use of funds and prohibitions will be specified in the award letter.

Award funds may be used only for expenditures necessary to carry out the approved research or related work. Recipient institutions are required to maintain accounts, records and other evidence pertaining to costs incurred.
RETURN OF UNEXPENDED FUNDS AND EXTENSION OF WORK

During all but the final year of a research project, unexpended funds may be carried forward to a new program year. At the end of the final year of a program, and at the termination of the research project, all unexpended funds will be returned to the foundation.

If a project is not completed at the end of the final year of a project, the institution may request an extension for up to one year from the foundation. The request should specify both the amount of funds involved in the extension and the scope of work to be completed in the extension period. The foundation will review the request and make a final determination.

AUDITS

The Boettcher Foundation reserves the right to audit the Webb-Waring Biomedical Research Awards program expenditures at participating institutions. The audit will be confined to those matters connected with the performance of the award, including but not limited to, administering the award. In the event of an audit, the foundation will pay a third-party audit firm to conduct the work. The foundation will provide at least 30 days notice of its intent to conduct an audit.

RIGHT OF THE FOUNDATION TO CHANGE PROGRAM GUIDELINES, ELIGIBILITY, FUNDING

The foundation will periodically review the Webb-Waring Biomedical Research Awards program and the effectiveness of the investment in Early-Career Investigators. The foundation reserves the right to change program guidelines, eligibility and funding levels based on these reviews. In order to seek a waiver of the guidelines, an institution’s chief executive must contact the foundation early in the program year (first quarter of the calendar year) to discuss a waiver and a process for considering a waiver. The Boettcher Foundation’s decision in these matters is final.

Termination

Either party (the Boettcher Foundation or the institution) may terminate an award upon providing prior written notice of such action of at least 60 days. In the event of early termination, the institution will be reimbursed for all legitimate costs actually incurred plus uncancellable obligations. The institution will submit, within 60 days of the early termination date, a final accounting of all funds and all final reports.

Contact Information

All inquiries from potential applicants (Early-Career Investigators) should be sent to the research institution at which the potential applicant is employed.

Research Institutions representatives responsible for the administration of the program should contact:
Provide the following information for the Early-Career Investigator and any proposed co-Early Career Investigators. Information for Each ECI is not to exceed SIX PAGES.

<table>
<thead>
<tr>
<th>NAME</th>
<th>POSITION TITLE</th>
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| CURRENT EMPLOYMENT - Colorado Institution, and College or School | EFFECTIVE DATE OF CURRENT POSITION |
|                                                               |                                  |

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)

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<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (IF APPLICABLE)</th>
<th>MM/YY</th>
<th>FIELD OF STUDY</th>
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Follow the formats and instructions below. A blank form is available as a Word document.

A. Personal Statement
Briefly describe why your experience and qualifications make you particularly well-suited for your role in the project that is the subject of the application. Include a brief statement of career goals.

B. Positions and Honors
List in chronological order previous positions over the past 10 years, concluding with the present position. List year and month for both the beginning and end of each appointment. Also provide explanations for any gaps of time in work experience such as a personal leave or sabbatical. For each appointment, indicate whether the appointment was a “career-track” appointment. Note that post-doctoral fellowships are not considered career-track appointments. If previous positions and employment included appointments at foreign institutions, please indicate the equivalent title for that position at your current institution.
Positions and Employment

Other Experience and Professional Memberships

Honors

C. Leadership and Community Service
Describe your current leadership roles and community-service commitments, both career- and non-career related.

D. Peer-Reviewed Publications
List all peer-reviewed publications, divided by “related to this application” and “other publications.” Do not include manuscripts submitted or in preparation.

Related to this application (newest to oldest)
Other publications (newest to oldest)

E. Research Support
List current, pending and completed research projects. List projects chronologically, beginning with the most recent. List project title, award number (if applicable), effective dates, funding entity, and total direct costs awarded. Briefly indicate the overall goals of the projects and responsibilities of the key person identified on the Biographical Sketch. For each project awarded to the investigator, list whether the project was awarded as a “mentored” or “supervised” project or an independent research project. For purposes of identifying past and current research projects as “mentored” or “supervised” as compared to “independent,” the following guidance is offered, but is not exhaustive. Questions should be forwarded to the institution’s contact person for the ECI program.

- A major independent research award is determined to be a National Institutes of Health [NIH] RO1 or similar grant which provides independent research support of at least $125,000 (either single-year or multiple-year award), and which was awarded through a rigorous peer review process conducted by a public or private institution. Multiple independent awards that are each less than $125,000, but that total more than $125,000 will not impact eligibility.
- Training grants, mentored/supervised grants, and career development grants are not considered to be independent awards. There is no limit on the amount of these types of awards that an ECI can receive to maintain eligibility.
- NIH “K” series grants are generally mentored grants, however, the R00 grant which can follow on the K99 grant is an independent award.
- NIH R01 grants are independent awards.

Active Research Support
Project Title, Award #
Effective Dates
Funding Entity, Total Direct Costs Awarded
Type of Award: Mentored, Supervised or Independent
Brief description of overall goal(s) of project and responsibility of ECI
Pending Research Support
Project Title
Effective Dates
Funding Entity, Total Direct Costs Applied For
Type of Award: Mentored, Supervised or Independent
Brief description of overall goal(s) of project and responsibility of ECI
Anticipated Notification Date

Completed Research Support
Project Title, Award #
Effective Dates
Funding Entity, Total Direct Costs Awarded
Type of Award: Mentored, Supervised or Independent
Brief description of overall goal(s) of project and responsibility of ECI

F. Residency Status
Indicate that the ECI is either U.S. Citizen or a Permanent Resident.