

UNIVERSITY OF WASHINGTON, BOTHELL

POLICIES AND PROCEDURES MANUAL

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GRANT AND CONTRACT ADMINISTRATION

5.1

REV 04/05

Finance and Administration

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OVERVIEW

The University of Washington continues to rank as one of the top research institutions in this country. UW Bothell has excellent potential to be part of this tradition.

The goal of a vibrant and active grant program at UW Bothell is to provide the following:

- Better utilization of the varied expertise, talents, and knowledge of faculty
- Excellent experience and training to UW Bothell students in their specific field of study.
- Significant contributions to the vitality of the campus and community through grant activities, speakers, and events.
- A more efficient use of facilities and services throughout the calendar year.

POLICY

The UW Bothell Finance and Administration Office serves as the grant proposal writer's primary vehicle for submitting proposals to UW Office of Sponsored Programs (OSP); for providing post-award support for grant and contract changes, additions, and closures; and for all other budgeting support.

The [Grant and Contract Coordinator](#) within the Finance and Administration Office is the initial contact and primary resource person for a variety of tasks, including but not limited to the following:

- Researching costs for salaries, wages, and stipend rates; benefit rates; personal and contractual services; on and off-campus services, travel; supplies and equipment costs.
- Creating budget amounts and formats for both OSP and the grant sponsor's reports.
- Completing and verifying the eGC1 and GC1 Addendum (for cost

sharing).

- Informing Principal Investigators (PI) on the various policies, procedures, and timeline requirements of OSP for proposal submission.
- Anticipating and troubleshooting special concerns OSP may have regarding the proposal submission. Serving as a liaison with OSP to assure proper and timely UW approval.

The [Finance and Administration Manager](#) within the Finance and Administration office is the Grant and Contract Coordinator's supervisor. The Finance and Administration Manager is a good source of knowledge of the grant process, fiscal and procedural concerns both here at UW Bothell and UW Seattle.

DEFINITIONS

eGCI – The eGCI is a grant submission tool internal to UW. The eGCI includes the grant budget, a brief narrative of project scope, and includes many compliance questions to be completed by the Principal Investigator. The compliance questions include whether they have a significant financial interest in the project, whether human or animal subjects are used in the research, etc.

OSP – [Office of Sponsored Programs](#). OSP will do the final review of the grant budget and narrative. The Director of OSP will sign the grant proposal and notify the [Grant and Contract Coordinator](#) when it is ready for pickup.

GCA – [Grant and Contract Accounting](#). GCA is responsible for all post-award grant administration including billing the granting agency, ensuring compliance with grantor stipulations, and grant close-out.

Human Subjects – The term “human subjects” is used to refer to human participants in grant research. If research involves the use of human subjects either directly or through records or other data such as specimens or autopsy materials, the research must be approved by the [Human Subjects Division](#) prior to the grant proposal being signed by OSP and submitted to the granting agency.

PI – The Principal Investigator (PI) is the person responsible at UWB for completion of the work identified in the grant proposal. The PI is also responsible for any project updates required by the grantor. The PI must be a University employee, and is typically a UWB faculty member although staff can be a PI under certain circumstances. For more information on PI responsibilities, please see [GIM2](#).

SAGE – [System to Administer Grants Electronically](#). SAGE is the software program used to enter eGCI information as well as electronically approve the grant. The eGCI itself does not actually need to be printed since it is approved electronically using SAGE, but any grantor required proposal forms, as well as

the scientific narrative, is attached to a SAGE cover sheet so the approver can reference the narrative if needed.

PROCEDURES

Following are procedures in the grant and contract process at UWB:

1. The Principal Investigator will find a proposal that matches the PI's expertise and time requirements. Excellent resources for finding grant projects exist on-line (see below). Another option is a preparing collaborative agreement with UW Seattle or other institutions.
2. Discuss the grant proposal idea or plan with all potential faculty and staff. Call the proposal contacts regarding the feasibility and appropriateness of the idea. Some sponsors welcome these informal inquiries and are happy to discuss them with the PI.
3. Decide the beginning and end dates of the project. Academic quarters for payroll purposes begin December 16 (Winter), March 16 (Spring), June 16 (Summer), and September 16 (Fall). It is often easiest to start a grant on the first day of a month.
4. Set up a timeline for completing and submitting the proposal. OSP requests ten (10) working days to review the final or near-final draft, the budget justification and the eGC1 sections of the grant. In addition, it generally takes the Finance and Administration Office three or four days to prepare a proposal for submission to OSP. Generally, we receive the proposal three or four days before the deadline, and the PI has an opportunity to make final (non-budgetary) revisions to the body of the proposal, and add letters of support or other supporting documents before sending.
5. Begin to prepare research, organizational, and planning aspects, (i.e., the main body) of the proposal. This segment of the proposal preparation process can require as much time and effort as preparing a journal publication, and requires the additional tasks of gaining additional collaborative support from other faculty, consultants, and organizations.
6. As early as possible, and well before the final draft of the scientific narrative is finished, finalize a budget. The following information must be determined for a budget:
 - a. Personnel (including other faculty, staff, consultants, pre- and post-doctoral, or hourly student helpers, etc) needed to complete the project. Determine as well whether the PI can personally commit the time and effort to fulfill the grant objectives. Discuss the need for teaching release time with the appropriate program director.
 - b. Determine needs for facilities both on and off the UWB campus. Specific room rentals for conferences and events should be budgeted in to the proposal unless the sponsor restricts costs for this purpose. Contact

- the [Facilities Use Coordinator](#) for assistance on facilities needs.
- c. Costs for tangible items specific to the grant, such as special supplies, computers and/or other equipment.
 - d. Travel requirements for grant participants, and local travel expenses to site locations, etc.
 - e. Requirements for subcontractors, major vendors, or institutional support.
 - f. Indirect costs for the project. Currently the indirect costs are 51.6% of the direct costs for on-campus projects and 26% for off-campus. The [Grant and Contract Coordinator](#) can verify the indirect cost rate for your grant.
7. Contact the [Grant and Contract Coordinator](#), if you have not done so already, and discuss the grant proposal timeline, budget, human subjects, and any other details or concerns regarding the proposal. Some sponsors have particular requirements or are to be submitted on-line (such as National Science Foundation grants).
 8. Complete the grant application or coordinate with the Grant and Contract Coordinator to complete it. A number of grant entry items are stated on the [OSP website](#).
 9. The Grant and Contract Coordinator will compile the proposal, prepare the eGC1, arrange to acquire the necessary UWB signatures (which include the Vice Chancellor for Administrative Services, the Vice Chancellor for Academic Affairs, and the Department Chair).

The proposal is submitted (hand carried or mailed) to OSP at the point where 1) the budgetary aspects of the grant have been solidified and are definite, 2) the main proposal is completed or very near completion. OSP requests *ten working days* to review all grant proposals, and it is the goal of the Grant and Contract Coordinator to give them the maximum amount of time for OSP to review the proposal.

10. OSP usually contacts the Grant and Contract Coordinator if they have any policy or procedural questions prior to approval. When approved, OSP notifies the Grant and Contract Coordinator, who makes arrangements to pick up the signed proposal packet at OSP. This is typically two to three days before the sponsor's deadline.
11. Despite every effort to be accurate and timely, the PI is ultimately responsible for the submission. He/she should question actions of the Finance and Administration office, serve as an extra "set of eyes" in reviewing budgetary entries, and re-check the sponsor's submission policies throughout the process.

ADDITIONAL INFORMATION

UW Research Guide website:

<http://www.washington.edu/research/guide> - an invaluable resource for locating funding sources, developing a proposal, starting and managing a grant program and much more.

UW Office of Sponsored Programs website:

<http://www.washington.edu/research/OSP/index.html> - provides general policy guidelines in grant and contract preparation. Among the many informational sites is <http://www.washington.edu/research/OSP/facts.html>, which provides grant preparation facts required on all submissions.

System to Administer Grants Electronically (SAGE):

The SAGE system serves as the UW's primary website for preparing and submitting grant proposals. As additional procedures are added, such as electronic routing and approval, PI's will need to be familiar with the SAGE system. The website is located at <https://ucs.admin.washington.edu/sage>. Note that it features an on-site training center, Frequently Asked Questions, and key grant prep contacts.

UW Grant and Contract Accounting website:

<http://www.washington.edu/research/gca/office> - a helpful resource once the grant has been approved and assigned a budget number. Questions regarding budgeting, billing, post-award regulations and forms needed are outlined on this website.

UW Researcher's Guide:

<http://www.washington.edu/research/guide/>.

National Science Foundation:

<http://www.nsf.gov/home/menus/about.htm>

NSF Grant Proposal Guide

<http://www.nsf.gov/pubsys/ods/getpub.cfm?gpg> – an excellent resource for general grant proposal outlines, budget preparation, narrative content, etc.

National Institutes of Health:

<http://www.nih.gov/>

National Endowment for the Humanities:

<http://www.neh.fed.us/>

National Endowment for the Arts:

<http://arts.endow.gov/>