Grants Contract Process Outline

Part I: Application (Pre-Award)

1. A request for proposals or opportunity to submit an application for funding is identified.
2. Notify the Dean/Director(s) of the PI(s), with intent to submit application.
3. Write the grant proposal, which includes both:
   - a budget (you may want to use the Budget Prep Spreadsheet Template)
   - a budget justification.
4. Complete the sponsor application.
5. Complete the UW internal application (eGC1). Please do not finalize the application until it has been reviewed by Kelly + Leo. The eGC1 is required if at least one of the following conditions exist:
   - When the sponsor requires an institutional signature/approval.
   - When the funding is going thru the UW Financial Accounting System (FAS)
6. Submit the entire application (sponsor application/proposal, eGC1, budget and justification) to the Grants Coordinator for UW Tacoma internal review.
7. After the UW Tacoma internal review and application is approved, finalize the eGC1.
8. Electronic approval process: The finalized eGC1 application will go through an electronic approval process to obtain all the necessary signature approvals from all parties involved in the project. In general, a signature will be required from the principal investigator (PI) and all project members, department heads.
9. eGC1 submission to the Office of Sponsored Programs for full review and approval prior to submitting the application to the funding agency is required.

Part II: Office of Sponsored Programs - Review and Approval

This part of the process is internal to OSP. Their responsibilities include:

- Review and approve on behalf of the University of Washington.
- Negotiate grant and contract awards for the UW with funding agencies.
- Authorize establishment of accounts for accepted awards.
- Negotiate and prepare subcontracts from UW awards to other institutions and organizations.
- Interpret and implement UW policies related to grants and contracts.
- Review, interpret, and disseminate policies of outside private and governmental funding agencies.
- Maintain a grant and contract database and generate regular reports on sponsored programs.

**Part III: Award Documents and Process**

In most cases, acceptance of an award by OSP is more or less automatic. There is a cursory review of the award terms, the award is processed, the budget created and the PI is notified that the award was accepted.

Occasionally, however, OSP may ask for the following before accepting the award:

- The PI may be required to sign the award document acknowledging that s/he has read the terms of the agreement and will conduct the project accordingly.
- The PI may be required to sign a Research Agreement Acknowledgement (RAA). By signing this form, the PI agrees that:
  1. s/he has read and will comply with the terms of the agreement, and
  2. that the work contemplated under the agreement does not conflict with work performed for another sponsor.

The RAA is generally required when a commercial sponsor is funding the project.

- Non-faculty members working on a project may be required to sign a Participation Agreement (PA). By signing this form, the individual agrees to allow the UW to control the disposition of any intellectual property resulting from the project.

Additionally, in some cases OSP may also require the sponsor to make changes to the terms of the award before it will be accepted.

**Part IV: Post-Award**

Proposals that have been awarded by the Sponsor and accepted OSP/PI, an EFA (Electronic Funding A) is prepared by OSP staff and forwarded to Grant and
Contract Accounting Office. GCA is responsible for the fiscal administration of all sponsored projects.

This includes:

- Establishing new budgets
- Modifying existing budgets (creating sub-accounts, re-budgeting, etc.)
- Receiving and processing incoming funds
- Assuring compliance with all fiscal regulations and program requirements
- Budget close out.

**Required Signatures: Post-Award**

The following forms will be distributed by the UW Tacoma Finance Office:

I. Delegation of Signature Authority: GIM 14. The purpose of this memorandum is to communicate the minimum standards whereby a Principal Investigator (PI) may appropriately delegate the authority to acquire goods and/or services with sponsored project funds.

II. BARS: Budget Activity Reports are monthly activity report of revenue and expenditures.
   a. It is the PI's responsibility to review the accuracy of the budget activities and to insure that the expenditures are allowable under the grant contract.
   b. The PI signs the BAR and return to the Grants Coordinator, Campus Box 358431.

III. Payroll Certification Reports: distributed monthly by Finance and Administration Office. Each PI must review, sign, date and return to the Grants Coordinator, Campus Box 358431.

IV. Faculty Effort Certification (FEC): Faculty report effort on Faculty Effort Certification reports.

Faculty confirms the percent effort they spend on each budget for which they are compensated by the University of Washington.

**Hiring Grant Funded Positions**

Contact UW Tacoma Human Resources for more information.