



University of Washington

Faculty Grants
Management
Program

Office of Sponsored Programs

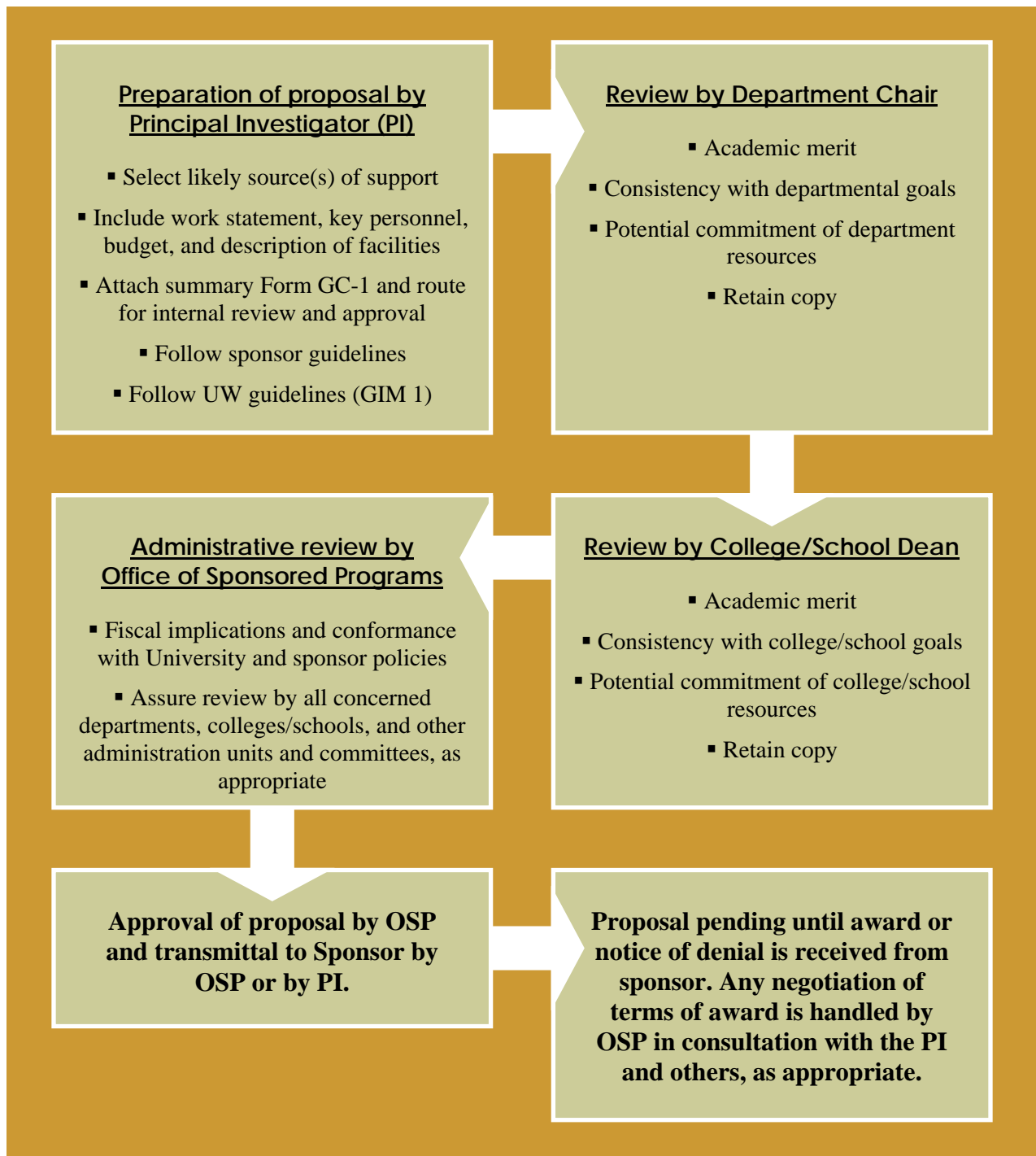
■ Carol Zuiches, Director
Office of Sponsored Programs
University of Washington
zuiches@u.washington.edu ■ 543-4043

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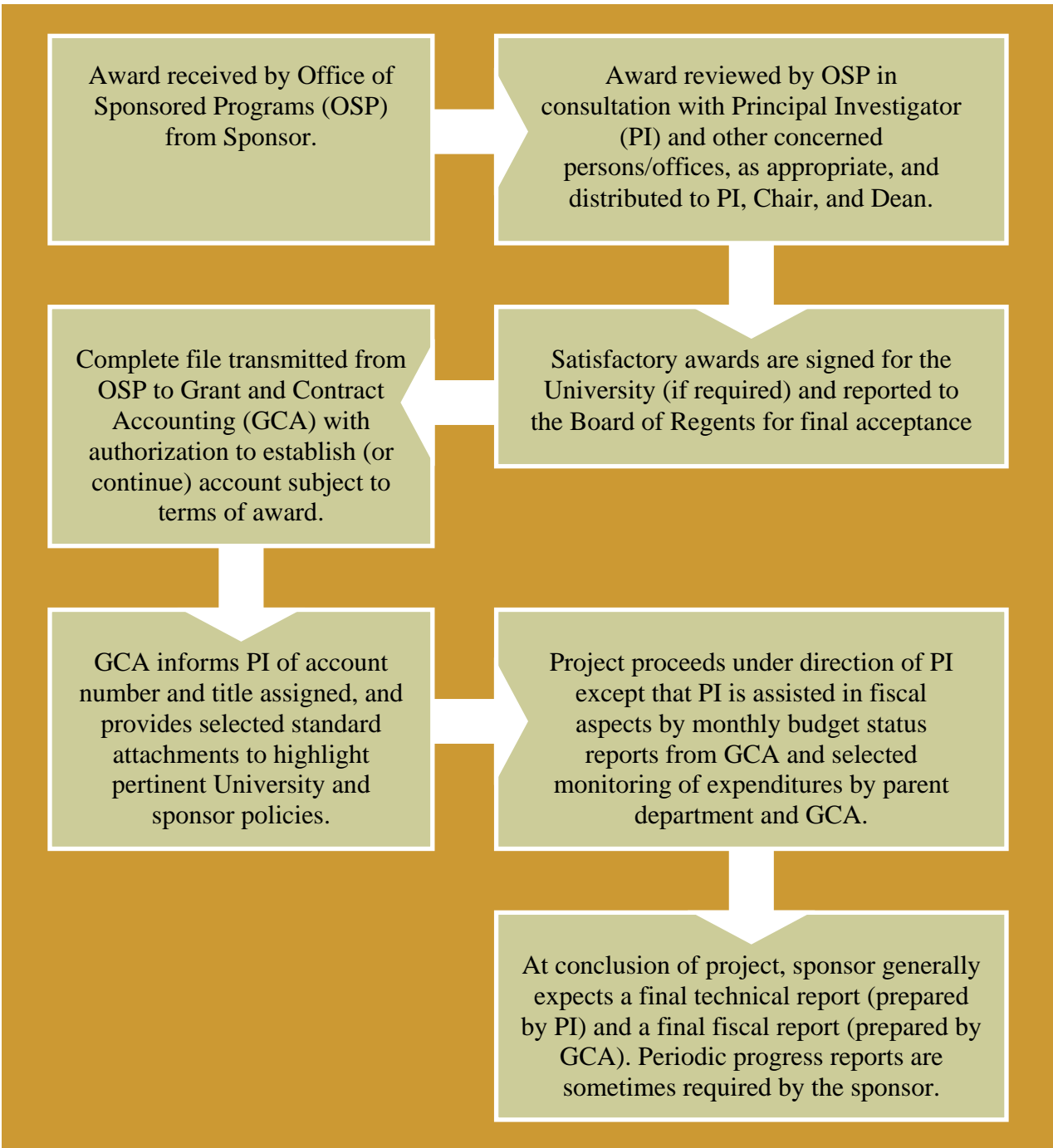
I. Flow Chart for Proposals

University of Washington
Office of Research
Office of Sponsored Programs



II. Flow Chart for Awards

University of Washington
Office of Research
Office of Sponsored Programs



March 1994

III. Request for Approval of Application for Grant or Contract (eGC-1)

System to Administer Grants Electronically (SAGE)



[Access SAGE online](#)



[Access the online SAGE training/practice site](#)

FOR TRAINING PURPOSES ONLY. DO NOT ENTER REAL DATA HERE.

UNIVERSITY OF WASHINGTON

SAGE

System to Administer Grants Electronically

This Application is open in Read-Only status. No changes can be made.

<p>Back to Menu</p> <p>Assign Access</p> <p>» Details</p> <p>PI and Contacts</p> <p>Personnel</p> <p>Abstract and RFA/RFP</p> <p>Budget</p> <p>Cost Sharing</p> <p>Compliance Questions</p> <p>Compliance Explanations</p> <p>View Summary</p> <p>Certify, Finalize and Print</p> <p>Save and Close This eGC1</p> <p>Exit SAGE</p>	<h3 style="margin: 0;">Application Details <small>Help</small></h3> <p style="text-align: right; margin: 0;"><< Previous Save Reset Next >></p> <p>Application number: 1000067</p> <p>Title (full)*: Faculty Grants Management Example eGC1</p> <p>Title (short)*: FGM Example</p> <p>Dates requested: Start*: 07/01/2004 End*: 06/30/2006</p> <p>Sponsor copies required: Signed: 1 Unsigned: 2</p> <p>Sponsor deadline*: 04/15/2004</p> <p>Date needed from GCS: 04/14/2004</p> <h3 style="margin: 0;">Organization Code Receiving Funding* <small>Help</small></h3> <p>UW Organization Code: 3040114000</p> <p>UW Organization Code Name: OBGYN/ADMIN</p> <p>Box Number for Official Correspondence:</p> <h3 style="margin: 0;">Application Type <small>Help</small></h3> <p>Application Type*: New</p> <p>After the Fact Application: NO</p> <h3 style="margin: 0;">Project Details <small>Help</small></h3> <p>Project Type*: Grant</p> <p>Funding Purpose*: Research: Basic</p> <h3 style="margin: 0;">Sponsor* <small>Help</small></h3> <p>Sponsor Name: National Institutes of Health (NIH)</p> <p>Sponsor Type: Federal Government</p> <p>Address: 1234 Main Street</p> <p>City, State, ZIP: Any Town XX 00000</p> <p>Country: USA</p> <p>Contact Name:</p> <p>Contact Phone:</p> <p>Contact Email:</p> <h3 style="margin: 0;">Additional Information for Existing Application or Award (if applicable)</h3> <p>Please include the complete sponsor application or award number and current year/total years.</p> <p>Sponsor number at UW:</p> <p>UW budget number:</p>
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A look at the online SAGE training system

IV. GIM 10: Significant Financial Interest Disclosure Policy

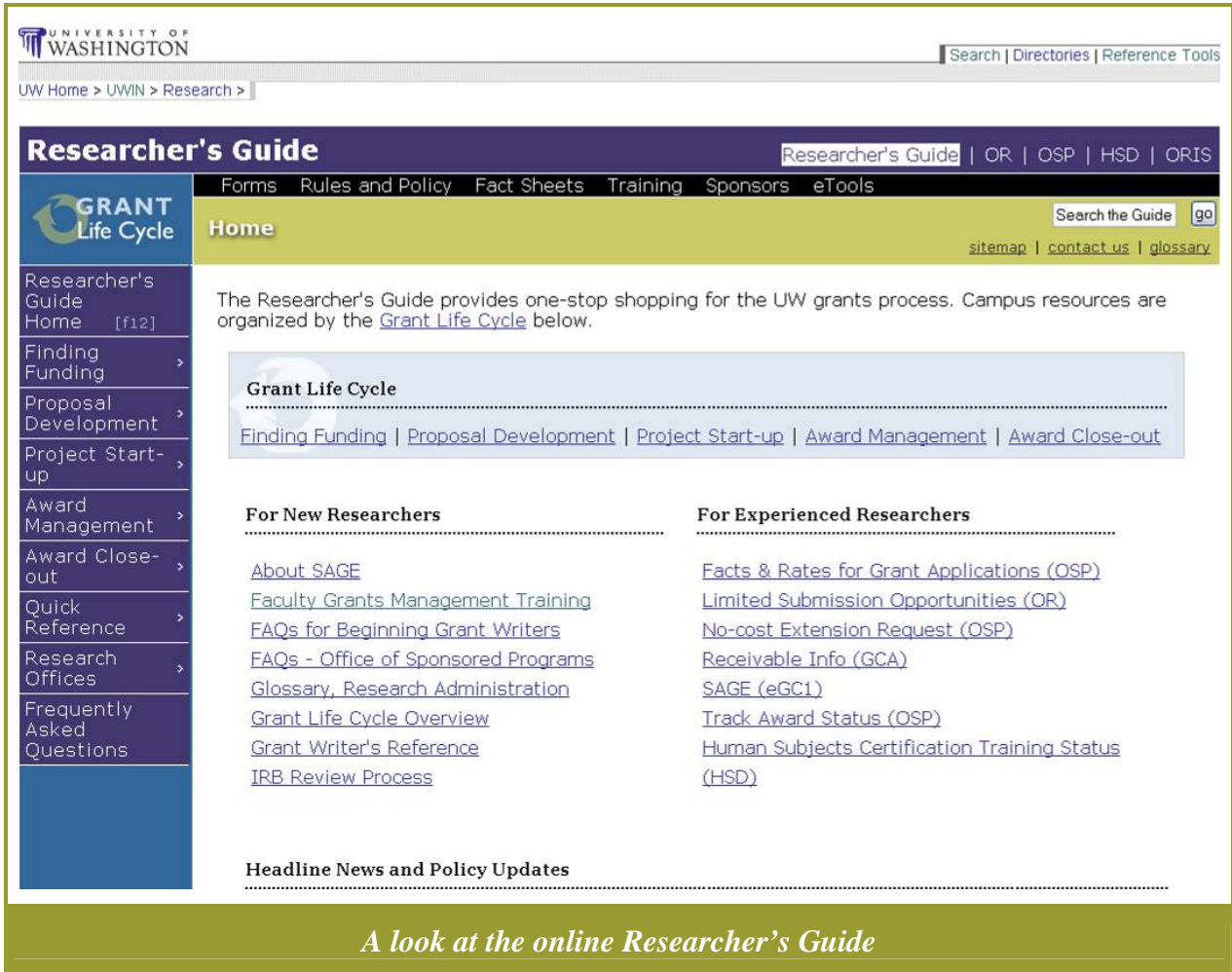


V. Grants Information Memorandum (GIM)



VI. Grant and Contract Guide

 [Access this web page.](#)



UNIVERSITY OF WASHINGTON

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UW Home > UWIN > Research >

Researcher's Guide

Researcher's Guide | OR | OSP | HSD | ORIS

Forms Rules and Policy Fact Sheets Training Sponsors eTools

GRANT Life Cycle

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sitemap | contact us | glossary

Researcher's Guide Home [f12]

Finding Funding >

Proposal Development >

Project Start-up >

Award Management >

Award Close-out >

Quick Reference >

Research Offices >

Frequently Asked Questions

The Researcher's Guide provides one-stop shopping for the UW grants process. Campus resources are organized by the [Grant Life Cycle](#) below.

Grant Life Cycle

[Finding Funding](#) | [Proposal Development](#) | [Project Start-up](#) | [Award Management](#) | [Award Close-out](#)

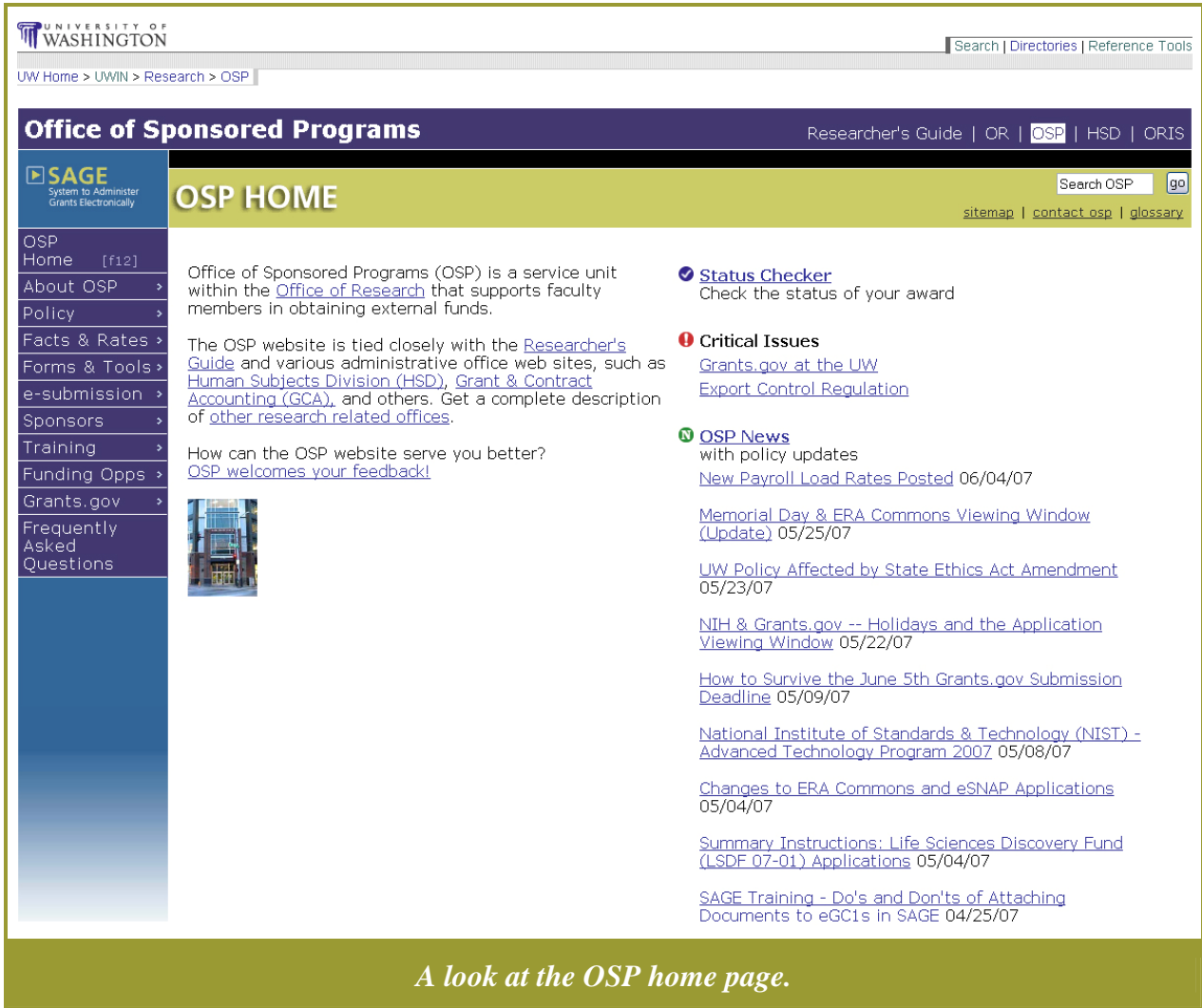
<p>For New Researchers</p> <hr/> <p>About SAGE</p> <p>Faculty Grants Management Training</p> <p>FAQs for Beginning Grant Writers</p> <p>FAQs - Office of Sponsored Programs</p> <p>Glossary, Research Administration</p> <p>Grant Life Cycle Overview</p> <p>Grant Writer's Reference</p> <p>IRB Review Process</p>	<p>For Experienced Researchers</p> <hr/> <p>Facts & Rates for Grant Applications (OSP)</p> <p>Limited Submission Opportunities (OR)</p> <p>No-cost Extension Request (OSP)</p> <p>Receivable Info (GCA)</p> <p>SAGE (eGC1)</p> <p>Track Award Status (OSP)</p> <p>Human Subjects Certification Training Status (HSD)</p>
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Headline News and Policy Updates

A look at the online Researcher's Guide

VII. OSP Home Page

 [Access this web page.](#)



The screenshot shows the University of Washington Office of Sponsored Programs (OSP) website. At the top left is the University of Washington logo. The main header includes the text "Office of Sponsored Programs" and navigation links for "Researcher's Guide", "OR", "OSP", "HSD", and "ORIS". A search bar is located in the top right corner. Below the header is a sidebar menu with links such as "About OSP", "Policy", "Facts & Rates", "Forms & Tools", "e-submission", "Sponsors", "Training", "Funding Opps", "Grants.gov", and "Frequently Asked Questions". The main content area is titled "OSP HOME" and contains several sections: a description of the OSP, a "Status Checker" link, a "Critical Issues" section with multiple links, and an "OSP News" section with several news items. A small image of a building is also visible in the main content area.

A look at the OSP home page.

VIII. Subcontracts for Research: Excerpts from GIM7

- Refer to [GIM7](#).
- Collaborative research where the cooperating institution's (subcontractor) proposal is included in UW proposal.
 - Get approval of subcontractor's authorized official prior to submitting UW proposal.
 - When UW award arrives, do requisition soon and send to OSP for subcontract preparation.
- Subcontract checklist (see next page).



UW Subcontract (Outgoing) Administrative Checklist

- ____ 1. Department/PI obtain Contractor's proposal (work scope and detailed budget) as signed by an authorizing business official. Include Contractor's proposal in UW proposal prior to sending GC-1 to OSP.

Note: If Subcontract was not contemplated until after the UW proposal is funded, obtain proposal from Contractor and route to Michael Blackwell, Subcontract Administrator in OSP. Sponsor approval may be needed depending on award terms and conditions.
- ____ 2. Department/PI initiate a Purchase Requisition (PR) using object code 03-62, after award is received and account number issued.
- ____ 3. Copy of the PR given to the OSP Subcontract Administrator by Purchasing for preparation of the Subcontract. Minimum two weeks processing time due to heavy volume, negotiation of terms, cost analysis of budget, collection of audit report, etc.
- ____ 4. Subcontract Administrator delivers Subcontract to UW Purchasing for execution and transmittal to Contractor. Minimum three days processing time.
- ____ 5. Subcontract is reviewed and signed by Contractor and returned to Purchasing. Generally this takes a month or so to process.
- ____ 6. Purchasing releases the Subcontract award to Payables Administration. Minimum three days processing time.
- ____ 7. PI and Department administrator reviews invoices at least quarterly, no more frequently than monthly. Final invoice from Contractor due 60 days following termination date.
- ____ 8. Amendments? Department/PI send a written memo or e-mail (mikeb@u.washington.edu) to the Subcontract Administrator requesting the relevant changes, e.g., no cost extension, supplemental funding, work scope add on, and so forth. Once processed, repeat steps 4 through 7 above.
- ____ 9. OSP is unable to transfer funds to a Contractor automatically. PI and Department must initiate (as noted above) a PR or amendment request and transmit it to the Subcontract Administrator.

*Policy Reference: Grants Information Memorandum No. 7,
Subcontracts for Sponsored Programs*

Prepared: 1/2001

IX. GIM 9: Advance Budget Number Assignment (Advance Notices)



[Access full text of GIM 9](#)


Attachments:

[Attachment A: Memo to Request an Advance Notice
\(Federal and Non-Industry Sponsors\)](#)

[Attachment B: Memo to Request an Advance Notice
\(Industry Sponsor & Clinical Trial Agreements\)](#)

[Attachment C: Advance Notice Instruction Sheet](#)

X. Notice to Establish Account Form

 UNIVERSITY OF WASHINGTON OFFICE OF RESEARCH GRANTS AND CONTRACT SERVICES NOTICE TO ESTABLISH ACCOUNT <small>UoW 1889 (11/92)</small>		Signature				
		Date				
		NEA Number				
To: Grant and Contract Accounting Office From: Grant and Contract Services						
Authorized Action		New Account	Extension	Supplement	Renewal	Revision
Type of Award		Grant	Contract	Form of Payment	Equipment (X = Yes)	Miscellaneous (X = Yes)
		Research (X = Yes)	Training (R = Research) (O = Other)	Fellowship (G = Grad & Professional) (U = Undergrad)		
Indirect Cost Rate		On Campus		Off Campus	Other	
Equipment Accountability		University Owned	Agency Owned	Other		
Grant & Contract No.					Title of Project	
Sponsor						
Approved Period				Principal Investigator		
Department				College/School		
Remarks						
Cost Sharing		Yes	No	See Remarks		
Contributed Effort			Effort		Contributed Value	
Title & Name			Mos. @ %			
Title & Name			Mos. @ %			
Title & Name			Mos. @ %			
A. TOTAL CONTRIBUTED SALARIES						
B. RELATED EMPLOYEE BENEFITS						
C. OTHER COST PARTICIPATION				AMOUNT		
D. INDIRECT COSTS @ % OF						
E. TOTAL COST PARTICIPATION						
Distribution : G&CA (White and Canary), Principal Investigator (Green), GCS file (Blue/White)					ACCOUNT NUMBER	

XI. A-21 Revision, July 1993

“Direct costs are those costs that can be identified specifically with a particular sponsored project ... relatively easily with a high degree of accuracy.”

Consistent treatment of costs—“Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect costs.”

New rules on administrative and clerical staff costs—normally treated as indirect costs.

“The salaries of administrative and clerical staff should normally be treated as indirect costs. Direct charging of these costs may be appropriate where a major project or activity explicitly budgets for administrative or clerical services and individuals involved can be specifically identified with the project or activity. Items such as office supplies, postage, local telephone costs, and memberships shall normally be treated as indirect costs.”

XII. Statement on Direct Charging of Administrative and Clerical Salaries with July 1994 OMB Interpretive Statement



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON D. C. 20503

July 13, 1994

MEMORANDUM FOR TERRENCE J. TYCHAN,
DEPARTMENT OF HEALTH AND HUMAN SERVICES

CHARLES PAOLETTI,
OFFICE OF NAVAL RESEARCH

WILLIAM COLE,
NATIONAL SCIENCE FOUNDATION

FROM: Norwood J. Jackson, Jr. 
Chief, Financial Standards and Reporting Branch

SUBJECT: Direct Charging of Administrative and Clerical Salaries

The attached interpretation provides guidance on defining the circumstances under which administrative and clerical salaries may be charged directly to Federal sponsored agreements in accordance with the provisions of Section F.6.b. of the July 1993 revisions to OMB Circular A-21, "Cost Principles for Educational Institutions." This interpretation amends the May 17, 1994, interpretation by adding an additional illustration of when direct charging of salaries of administrative or clerical staff may be appropriate.

If you have any questions, please do not hesitate to contact me or Jack Sheehan.

Attachment

OMB CIRCULAR A-21

TREATMENT OF ADMINISTRATIVE AND CLERICAL SALARIES

Question

Section F.6.b. of the July 1993 revision of Circular A-21 says that the salaries of administrative and clerical staff should normally be treated as indirect costs. This section goes on to say that direct charging of these costs may be appropriate where a major project or activity explicitly budgets for administrative or clerical services and the individuals involved can be specifically identified with the project or activity. What is the intent of this provision and under what circumstances may these costs be directly charged to sponsored agreements?

Answer

This provision is intended to establish the principle that the salaries of administrative and clerical staff should usually be treated as indirect costs, but that direct charging of these costs may be appropriate where the nature of the work performed under a particular project requires an extensive amount of administrative or clerical support which is significantly greater than the routine level of such services provided by academic departments. The costs would need to meet the general criteria for direct charging in Section D.1. — i.e., “be identified specifically with a particular sponsored project... relatively easily with a high degree of accuracy,” and the special circumstances requiring direct charging of the services would need to be justified to the satisfaction of the awarding agency in the grant application or contract proposal.

The following examples are illustrative of circumstances where direct charging the salaries of administrative or clerical staff may be appropriate.

- Large, complex programs, such as General Clinical Research Centers, Primate Centers, Program Projects, environmental research center, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.
- Projects which involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting, such as epidemiological studies, clinical trails, and retrospective clinical records studies.

- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.
- Projects whose principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).
- Projects that are geographically inaccessible to normal departmental administrative services, such as seagoing research vessels, radio astronomy projects, and other research field sites that are remote from the campus.
- Individual projects requiring project-specific database management; individualized graphics or manuscript preparation; human or animal protocol, IRB preparations and/or other project-specific regulatory protocols; and multiple project-related investigator coordination and communications.

These examples are not exhaustive nor are they intended to imply that direct charging of administrative or clerical salaries would always be appropriate for the situations illustrated in the examples. Where direct charges for administrative and clerical salaries are made, care must be exercised to assure that costs incurred for the same purpose in like circumstances are consistently treated as direct costs for all activities. This should be accomplished through a “Direct Charge Equivalent” or other mechanism that assigns the costs directly to the appropriate activities.

XIII. Office of Naval Research Guidance on Direct Charging of Clerical and Administrative Salaries, June 26, 1995



DEPARTMENT OF THE NAVY
OFFICE OF NAVAL RESEARCH
800 NORTH QUINCY STREET
ARLINGTON, VA 22217-5660

Ser 24/047ad
16 June 95

RECEIVED

JUN 22 1995

GRANT AND CONTRACT SERVICES

Mr. Donald W. Allen
Director
Grant and Contract Services
University of Washington
Seattle, WA 98105-6613

Dear Mr. Allen:

The purpose of this letter is to provide the Office of Naval Research (ONR) implementation of section F.6.b. of Office of Management and Budget (OMB) Circular A-21 concerning administrative and clerical salaries. This section was changed in July 1993 to read:

The salaries of administrative and clerical staff should normally be treated as indirect costs. Direct charging of these costs may be appropriate where a major project or activity explicitly budgets for administrative or clerical services and individuals involved can be specifically identified with the project or activity.

As stated, generally administrative and clerical expenses are treated as indirect costs. The following examples are illustrative of circumstances when the nature of the work performed under a particular award may require extensive amounts of clerical and administrative effort and direct charging of these expenses may be appropriate:

- Large, complex programs, such as General Clinical Research Centers, Primate Centers, Program Projects, environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.

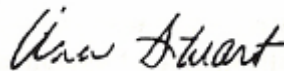
- Projects which involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting, such as epidemiological studies, clinical trials, and retrospective clinical records studies.
- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.
- Projects whose principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).
- Projects that are geographically inaccessible to normal departmental administrative services, such as seagoing research vessels, radio astronomy projects, and other research field sites that are remote from the campus.
- Individual projects requiring project-specific database management; individualized graphs or manuscript preparation; human or animal protocol; other project-specific regulatory protocols; and multiple project-related investigator coordination and communications.

These examples are not exhaustive nor are they intended to imply that direct charging of administrative or clerical salaries would always be appropriate for the situation illustrated in the examples. Therefore, when deciding to charge clerical and administrative expense to direct or indirect costs, attention must be paid to assure that costs incurred for the same purpose in like circumstances are treated consistently.

When the initial budget did not contemplate charging of administrative and clerical expense directly, funds may be rebudgeted without prior approval when consistent with OMB Circular A-21 and the examples provided here.

If you have any questions, please contact your cognizant ONR Administrative Contracting Officer.

Sincerely,



ANN STUART
Director
University Business Affairs

XIV. OMB Circular A-21 Revision, May 1996

Changes Affecting the UW

1. Cost Accounting Standards (CAS)
 - Consistency Requirements
 - Disclosure Statement

2. New Equipment Threshold
 - \$2,000 for the UW, effective July 1, 1996

3. Fixed Indirect Cost Rate for “Competitive Segment” of award

Also:

Changed term “Indirect Costs” to “Facilities and Administrative (F&A) Costs”

NOTE: A-21 was revised again in May, 1998, but revisions were just formula changes (Facilities Documentation, Utilities Adjustments, etc.) affecting rate calculation for the future.

XV. OMB Circular A-21 Revision, May 1998

Exhibit C

Examples of “major project” where direct charging of administrative or clerical staff salaries may be appropriate.

Large, complex programs such as General Clinical Research Centers, Primate Centers, Program Projects, environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.

- Projects which involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting (such as epidemiological studies, clinical trials, and retrospective clinical records studies).
- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.
- Projects whose principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).
- Projects that are geographically inaccessible to normal departmental administrative services, such as research vessels, radio astronomy projects, and other research fields sites that are remote from campus.
- Individual projects requiring project-specific database management; individualized graphics or manuscript preparation; human or animal protocols; and multiple project-related investigator coordination and communications.

These examples are not exhaustive nor are they intended to imply that direct charging of administrative or clerical salaries would always be appropriate for the situations illustrated in the examples. For instance, the examples would be appropriate when the costs of such activities are incurred in unlike circumstances, i.e., the actual activities charged direct are not the same as the actual activities normally included in the institution’s facilities and administrative (F&A) cost pools or, if the same, the indirect activity costs are immaterial in amount. It would be inappropriate to charge the cost of such activities directly to specific sponsored agreements if, in similar circumstances, the costs of performing the same type of activity for other sponsored agreements were included as allocable costs in the institution’s F&A cost pools. Application of negotiated predetermined F&A cost rates may also be inappropriate if such activity costs charged directly were not provided for in the allocation base that was used to determine the predetermined F&A cost rates.

XVI. GIM 13: New Indirect Cost Rates



[Access full text of GIM 13](#)

Attachments:

[Attachment A: Summary of Indirect Cost Rates to be Included in Grant and Contract Proposals](#)

[Attachment B: Guidelines for Determining Indirect Cost Provisions in Proposals Where Project is Conducted at Two or More Locations](#)

[Attachment C: Grant and Contract Relationships with State Agencies](#)

[Attachment D: Guidelines for Application of F&A Rates](#)