

DEPARTMENT OF IMMUNOLOGY GRANTS PROCESSING PROCEDURE

This section describes the procedures and administrative responsibilities for assisting investigators applying for grant monies, internal routing of the applications, and establishing files and notebooks to keep financial records for funded grants.

Application Process:

The Principal Investigator on a grant must be a faculty member at the University of Washington with the title of Acting Instructor or higher.

1. Acting Instructors must have a letter on file with the Dean's Office from the Chair. The Chair's letter states his/her support of grant applications (see attached).
2. Postdoctoral fellows can also submit fellowships; his/her mentor's name appears as the Sponsor on the application. If a postdoctoral fellow is pursuing a faculty position and wishes to submit a grant, the Chair must write a letter to the Dean's Office in support of the application (see attached). The faculty member or postdoctoral fellow meet with the Administrator at least three-four weeks prior to the grant deadline to review the required forms and establish the budget. Please see the following attachments for detailed information about commonly required forms.

The Department central office will work with the Principal Investigator in getting the appropriate forms for the proposal completed for internal and external submission.

Routing

The Department central office routes the grant for the following signatures, culminating with the Director of Grant and Contract Services revising and signing the application. It is suggested that routing start 10 working days prior to the submission deadline. The first page of the GC-1 form must bear the signature of the Principal Investigator and the Department Chair prior to routing:

1. ***Animal Care Committee:***

If the proposed project uses animals, all funding agencies require an acknowledgment that the University of Washington adheres to humane animal practices. Take the GC-1 forms with approval dates indicated, the grant page requiring the animal use approval date (labeled face page for NIH grants), and a copy of the grant application to Comparative Medicine, T-142 HSC and leave in the mailbox indicated "Grants for Signature". If the principal investigator does not have a current animal protocol pertinent to the application being submitted, they will need to fill one out prior to getting a signature. This will need to be submitted along with the GC-1 form and copy of application. Forms can be downloaded from the University home page (address: www.hscer.washington.edu/iacuc/).

If the PI is working with primates, signatures will be needed from the Primate Center and from Health Sciences Administration.

2. ***Human Subjects:***

If the proposed project involves human subjects (either directly or through records or other data such as specimens or autopsy materials), the research requires human subjects review. A Human Subjects Review Committee application form ([UW 13-11](#)) needs to be completed and submitted to the Human Subjects Division, Box 355752. The Human Subjects application can also be

submitted concurrently with the grant application. Please note that you must include a copy of all relevant information (grant proposals, drug or device information, consent forms, questionnaires, test instruments, advertisements, debriefing statements, contact letters, etc.). If the PI has currently approved Human Subjects protocol, please make sure to include the protocol number and approval date on the GC-1 form. Grant and Contract Services will verify with the Human Subjects Office that they have all the appropriate paperwork. Forms can be downloaded from the University of Washington home page (address: <http://depts.ashington.edu/hsd/>).

3. *Other Departments*

If the PI has co-investigators and/or consultants from other departments within the University involved in the project, concurrence signatures from those Departments will be needed. Please route a copy of the proposal and GC-1 signature page to appropriate departments. Also include information regarding salaries, if appropriate.

4. *Dean's Office (School of Medicine)*

Once you have received the appropriate signatures above, the application needs to be routed to the Dean's Office for signature. Bring the application (original gc-1 form and addendum, Grant Activity Sites Inventory, UWSOM Scientific Code Classification form, plus copy of GC-1 and application) to A-300 and deposit in the box on the reception counter designated "Grants for Signature". Janell Douglas currently oversees this activity for the Dean's office.

5. *Grant and Contract Services (543-4043; fax 685-1732)*

After the Dean's office has signed off on the grant, the application needs to be routed to Grant and Contract Services (3935 University Way N.E.). They need the following packet:

- Proposal Instruction Sheet
- Original GC-1 form
- Original and one copy of the grant
- Copy of GC-1 form + application budget pages (title page, budget, budget justification, checklist.
- Addendum (2)
- Human Subjects – If submitting new Human Subjects application, this can be submitted at this time.

Once Grant and Contract Services has signed off on the application, they will call for pick-up.

Copying and Mailing

Each funding agency has different requirements for the number of copies to send along with the original grant proposal. The Department's central office will help the principal investigator to make the required number of copies for the funding agency plus one copy for the Department and one for the principal investigator. The completed grant packed is mailed by express mail to the funding agency. Always use the departmental funds (see Administrator) when mailing grant applications. Enter the date, grant and PI, etc. into the Pending Grant Log.

File Set-Up

Pending grants are filed in the Administrator's office. If a grant is not funded, or the Principal Investigator does not accept the award, the application is kept for one year and then destroyed.

Once a grant has been awarded, prepare a four-part, gray folder with the following labels from the front to the back inside covers for each grant application:

- Award Materials
- Application Materials
- Budget Materials
- Correspondence

The grant file will reside in the Department Fiscal Office, H575.

Award Establishment

After the Administrator receives notification that the grant will be funded, the Fiscal Office prepares to track the financial records generated by the new grant. A copy of the award notice is placed in the grant file and in the budget notebook that is set up for each grant. The notebook will be set up with the following sections:

- Award notice/Notice to Establish Account
- Signature Authority
- Budget Reports
- BARs
- BSRs
- Open and Closed CTIs
- PO's
- Standing PO's
- Animal Charges
- Miscellaneous Expenses
- JV's/RST's

The Fiscal Specialist Supervisor will create a budget spreadsheet for the new grant with the budget number as the name. The Fiscal Specialist Supervisor contacts the Principal Investigator to determine which individuals in his/her laboratory will have the ability to authorize purchases on the grant. These names, along with that of the investigator, are authorized using a signature memo. The signature authority memo is generated by the Fiscal Specialist Supervisor. Each individual plus the investigator sign the memo. A copy of the memo is filed in the grant administration filed with a copy also going to the Fiscal Specialist(s) and the Administrator.