

College of Arts & Sciences

Research Grants & Contracts; Gifts and Goods & Services Agreements

STANDARD OPERATING PROCEDURE (SOP) V1, Effective May 15, 2021

Purpose

The University of Washington's (UW) College of Arts & Sciences (CAS) engages as a vendor/recipient for paid and unpaid agreements with diverse partners regarding a wide range of activities, including research, consultation, and scholarly activities (among others). This SOP document defines each type of activity and provides guidance about the methods for processing under UW and CAS policies.

Authorized signatories depend on the type of agreement. The appropriate signatory must sign agreements for them to be legally binding. Agreements not processed through the appropriate authorized signatory may not be recognized or honored by UW and may not include legal protections for faculty and staff involved in the agreement. *(This SOP does not address agreements faculty or staff may enter into for outside work. Faculty/staff may decide to sign agreements on their own behalf that cover outside consulting activities conducted in accordance with [UW policies](#) .*

The signature of a faculty member and Chair is a method to communicate their concurrence with the terms of the agreement, but cannot serve as the authorized official for any of the agreement types listed below.

Various agreement types, information about how to determine which type of agreement fits a particular activity, and details regarding preparation and processing agreements are described below.

Agreement Types

Research Grant or Contract. If an agreement contains multiple components including consultation, technical assistance and research (as defined by federal guidelines), the agreement must be treated as a research grant or contract. UW defines "[research](#)" according to federal definitions.

- Indicators that the project is a sponsored project:
 - Basic & organized research, instruction or other sponsored activity; mutual exchange between a sponsor and UW, that benefits both parties; results in generalizable knowledge intended to be shared broadly with the scientific community.
 - UW has authority to make overall programmatic decisions, with performance measured against program objectives rather than customer specifications; UW controls the method and results of the overall project; UW is responsible for overall project or program outcomes; UW is contributing to scientific development or

- execution of the project.
- Activity carried out with intent to further disseminate knowledge, including possible publication; may result in UW patentable innovation; copyrightable material may be developed; UW/author intends to retain ownership and control for future research/academic purposes; equipment fabrication or development for a federal agency.
- Use the SAGE eGC1 for online approvals and routing to the [Office of Sponsored Programs](#)
- Project budgets must include Facilities and Administration (F&A) Costs as outlined in [GIM \(Grants Information Memorandum\) 13](#).
- UW Signatory: [Office of Sponsored Programs](#)
 - *Note: If the scope of work for the agreement qualifies as a Goods & Services Agreement (below) but the agreement must be processed through OSP because it originates from a federal sponsor, either directly or as flow-through funding, review the guidelines for the F&A rate associated with “[Other Sponsored Activities](#)” to determine if that may be the most appropriate rate to use.*
- Post Award: OSP accepts all sponsored project awards on behalf of the University. GCA will set up the budget and issue a budget number.

Gift. [UW Advancement Office](#) and [GIM \(Grants Information Memorandum\) 34](#) provide guidance in differentiating between a grant and a gift, especially when the funding originates from a corporation or foundation.

- Contact the CAS Corporate & Foundation Relations Office early in the process (Yvonne Devineni, yjdev@uw.edu)
- A gift assessment of five percent will be applied upon receipt to current-use contributions over \$1,000 and under \$5 million to the same fund in a fiscal year.
- UW Signatory: Contact [CAS CFR Office](#) for assistance. A number of factors will determine who the proper signatory is for a given agreement.

Goods & Services (G&S) Agreements. These are contracts where the UW is being paid to provide services such as scientific testing, training, program evaluation, curation services, hosting conferences or visitors, performing arts, consultant, field testing, presentations, non-clinical consultation, technical assistance, and other non-sponsored activities.

- Indicators that the project is a G&S Agreement:
 - The primary benefit is the customer; activity is ancillary to the project - UW not responsible for program objectives or overall program progress;
 - Billing is typically based on fee schedule, pricing list, per diem, per unit; cost is expressed in an hourly or per unit basis; includes a request for bid or quote.
 - When Federal, the government intends to own all rights to data.
 - Agency refers to “vendor” and not a “contractor”, “awardee” or “grantee”;
 - Activity is not carried out with intent to disseminate knowledge/publication.
- Project budgets are always subject to the [Institutional Overhead](#). This is currently 15.6% for on campus & 6.85% for off-campus.
- Components of the agreement (best practice).

- Statement of work clearly defined
- Budget and payment terms
- Start and end dates
- Location of the project should be specific
- Contract termination
- Intellectual property
- Jurisdiction
- Authorized Official for Finance should be Linda Nelson, Associate Dean (lindaros@uw.edu, 206.685.2731)
- You may choose to include a Department Finance Contact that could be used for invoicing or questions
- International agreements, including fee-based programs, need to go through the [Office of Global Affairs](#) for review. Review their webpage for guidance.
- Routing and Signature:
 1. Send a copy of your final draft agreement to Peter Denis (denisjp@uw.edu) for legal review and determination of Authorized Representative for signature.
 2. Update agreement with Peter's recommendations and the name of the signatory.
 3. Obtain the PI and Chair signature as concurrence to the agreement.
 4. Forward agreement and Peter's comments to the correct signatory. For Divisional Deans, copy their Assistant. For the Associate Dean of Research, copy Gretchen Davis Richey.
 5. When all UW signatures have been obtained, then send the agreement to your sponsoring organization.
 6. The institutional record for G&S Agreements is the Department. Please send a copy of the fully executed agreement (signed by all parties) to Gretchen Davis Richey (gsd@uw.edu) for reference in the Dean's Office.
- *Note: Categorizing between sponsored programs or services is not always a bright line. Some factors could be present in both a sponsored program and services agreement. Because of this, review and discussion by more than one UW office may be needed.*
- Post Award: Payments from Goods & Services Agreements are considered Department Revenue. You will need a department revenue budget number. Begin by getting approval for this activity from your Dean's Office/Director ([APS 59.5](#)). Then contact the [Office of Planning & Budgeting](#) (OPB) to get a department revenue budget number established.

Purchasing. For contracts involving the *purchase* of services contact [Procurement Services](#).

Equipment Loans: These agreements are used when an outside organization loans a piece of equipment to a PI for use at a UW controlled location (may be on or off campus). These agreements will follow the same routing and signature process as Goods and Services Agreements.

Additional Information

[OSP Webpage](#) – sponsored program vs service

[APS 59.5 Policy on Goods and Services](#)

[APS 32.1 Accounting for Revenues from Sales of Goods & Services](#)