

Research Circular No. A1

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Distribution:

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SPONSORED PROJECTS POLICY

POLICY ON THE SUBMITTAL OF PROPOSALS, ACCEPTANCE OF AWARDS, AND ADMINISTRATION OF CONTRACTS AND GRANTS

I. References

- A. By-Laws and Standing Orders of The Regents 100.4 (dd)
- B. University of California Contract and Grant Manual, Chapter 13
- C. Memorandum dated March 29, 1988 to Chancellors from President Gardner

II. Policy

A. General Statement

In the pursuit of its academic mission, UCSB solicits and accepts funds from extramural sponsors, both federal and non-federal, for the conduct of research, training, and public service projects. All proposals for such sponsored projects are submitted in the name of The Regents of the University of California, and all resulting awards are likewise accepted or executed in the name of The Regents. Specific authority to act on behalf of The Regents with respect to proposal submissions and award acceptance or execution has been delegated to the Chancellor and to staff in the campus Office of Research. The conduct and administration of sponsored research on campus are shared responsibilities between Principal Investigators, academic administrators, departments, organized research units and the Office of Research.

B. Delegation of Contract and Grant Authority

The individuals occupying the following positions at UCSB are authorized on behalf of The Regents to solicit, accept, or execute contracts and grants for sponsored projects up to the specified level of annual direct costs, including the signing of related documents as necessary:

Annual Direct Costs

Title	Not Exceeding
Chancellor	\$2,000,000
Associate Vice Chancellor-Research	\$2,000,000
Sponsored Projects Manager	\$2,000,000
Contract and Grant Officers	\$ 500,000

Proposals and/or awards with any of the following conditions require the approval of the Office of the President:

- (1) annual direct costs exceed \$2,000,000;
- (2) duration of the project exceeds seven (7) years.

Proposals and/or awards with any of the following conditions require the approval of The Regents:

- (1) the University must assume liability for the acts of third parties;
- (2) the University must commit funds for which there is no established fund source;
- (3) the project entails construction of capital facilities not previously approved by The Regents.

C. Responsibilities for Proposal Submission

The following responsibilities are listed in the order that generally reflects the process of proposal preparation and submission:

The Principal Investigator is the individual responsible for the technical and budgetary design of projects proposed for funding by extramural sponsors. The assistance of departmental staff in carrying out this responsibility is recognized as being generally necessary. The Principal Investigator and assisting staff must be knowledgeable about both sponsor agency and University guidelines relative to proposal preparation, and must complete proposals according to those guidelines. These include, but are not limited to: agency instructions regarding completion of proposal forms (cover pages, budget pages, etc.), proposal formatting, the required number of proposal copies, University policies and procedures regarding the correct calculation of direct and indirect costs, approval for use of human or animal subjects, disclosure of conflicts of interest, and transmittal to the Office of Research for final review and approval.

Department Chairs and Organized Research Unit (ORU) Directors are responsible for reviewing proposals submitted by departmental and ORU faculty or staff to determine, and approve when necessary, such matters as the eligibility of individuals to serve as Principal Investigators, the appropriateness of time commitments made by faculty members, the availability of campus space and facilities necessary for the project, and the appropriateness of departmental cost-sharing or matching fund commitments.

Provosts and Deans of Colleges and Schools are accountable for all funds administered by departments under their control, as well as for the programmatic coordination of their colleges or schools. They are responsible for approval of all cost-sharing and matching fund commitments included in proposals from their colleges or schools, and assuring that all proposals are consistent with the academic objectives of their colleges or schools.

The Office of Research (OR) is responsible for reviewing, approving, and submitting all proposals for sponsored projects at UCSB. OR assures compliance and consistency of proposals with sponsor agency and University guidelines and policies, provides all necessary institutional signatures and certifications through those members of its staff who have been delegated contract and grant authority, and officially transmits proposals to sponsor agencies on behalf of the University. OR is responsible for informing departments and ORUs of significant changes or new developments in policies and procedures affecting proposal preparation and submission, and for assisting departments and ORUs in the interpretation and implementation of such policies and procedures. OR also coordinates the approval of institutional cost-sharing and matching commitments included in proposals.

D. Responsibilities for Award Acceptance and Administration

The following responsibilities are listed in the order that generally reflects the process of award acceptance and administration:

The Office of Research is responsible for accepting and processing all extramural contracts and grants awarded to UCSB for the conduct of sponsored projects, including modifications, amendments, continuations, and renewals of existing contracts and grants. Only OR staff who have been delegated contract and grant authority are responsible for conducting any necessary negotiation of award terms and conditions, and for executing final award documents on behalf of the University. Upon acceptance of an award, OR is responsible for preparation and recording of UCSB's award synopsis, and distribution of the synopsis and accompanying award documents to the Principal Investigator, the administering department or ORU, Extramural Fund Accounting, and other affected campus administrative offices.

The Principal Investigator is responsible for the ongoing technical, administrative, and fiscal management of the awarded project. This includes, but is not limited to: conducting all work under the award in a timely and professional manner; assuring compliance with the terms and conditions of the award that affect project performance; assuring that the project's performance is consistent with relevant University policies on matters such as publication of research results, disclosure of inventions, and environmental health and safety; maintaining budgetary control through the use of appropriate departmental or ORU staff and resources; assuring that costs incurred are reasonable and allocable to the project, and otherwise consistent with the sponsoring agency's cost principles; and complying with all progress and other technical reporting requirements specified by the award terms and conditions.

The administering department or ORU is responsible for assuring that all financial transactions related to an award are reviewed, approved, and processed according to University policies and procedures. The administering department or ORU also assists Principal Investigators in determining that financial transactions are consistent with major cost principles for contracts and grants adhered to by the University, such as those stated in federal OMB Circular No. A-21. In the event that costs incurred under an award exceed the award's allocated funds, or are subsequently disallowed, the *Department Chair or ORU Director*, with all necessary assistance from the Principal Investigator, is responsible for identifying appropriate fund sources to cover such overdrafts or disallowance's. If the Chair or Director is unable to identify such funds, this responsibility falls to the *Provost or Dean* of the administering College or School.

E. Obtaining Prior Approvals

Certain financial or other administrative changes during the conduct of a sponsored project may require the prior approval of either the Office of Research or the sponsoring agency, as specified in the award terms and conditions. In these cases, the *Principal Investigator* is responsible for initiating the request for prior approval, and submitting it to OR for review and approval. *The Office of Research* is responsible for reviewing such requests and, when it has the authority under University policies or sponsoring agency guidelines, granting approval as may be appropriate. When prior approval by the sponsoring agency is required, OR is responsible for reviewing the request for accuracy and completeness, and assuring its prompt transmittal to the agency on behalf of the University.

III. Procedures and Implementation

Procedures for carrying out responsibilities under this policy are issued by the Office of Research in the form of additional Research Circulars, Sponsored Projects Important News, and memoranda addressed to Deans, Directors, Department Chairs, and Principal Investigators. The Office of Research is also available to assist with the interpretation of this policy and its associated procedures as they are implemented by departments, faculty, and staff.

IV. Attachments None.

James F. Case - Associate Vice Chancellor for Research