



<b>POLICY TITLE</b>	Sponsored Programs (Grants, Contracts, Cooperative Agreements)	<b>Policy Number</b>	137
<b>Section</b>	Governance, Organization, and General Information	<b>Approval Date</b>	June 13, 2007
<b>Subsection</b>	Publications, Reports, Research, and Records	<b>Effective Date</b>	June 13, 2007
<b>Responsible Office</b>	Office of the Vice President of Finance and Administration		

### 1.0 PURPOSE

**1.1** The development of financial resources from government (other than Utah State Legislature appropriated funds) and private or corporate foundation sources provides significant benefits to the University and furthers the institutional mission by facilitating research, workshops, projects, and activities that enrich the scholarly and creative endeavors of faculty, staff, and students, and enhances the programs and services provided by the University. As members of the institutional community identify and prepare sources and opportunities and begin preparing written proposals for funding, it is necessary that these efforts be coordinated, collaborative potentials explored, potential institutional obligations identified and addressed, and appropriate oversight administered.

### 2.0 REFERENCES

**2.1** Utah State Board of Regents' Policy R532 *Acceptance and Approval of Grants and Contracts*

### 3.0 DEFINITIONS

**3.1 Budget:** The financial plan or cost assessment for the sponsored program proposal, contract, or award reflecting all costs associated with implementation of the project in compliance with sponsor guidelines, government regulations, and university policies.

**3.2 Direct costs:** All costs that can be directly attributed to the conduct of the sponsored program and that are specified in the budget. This does not include Facilities and Administrative costs (indirect costs) or other operating overhead.

**3.3 Externally-funded activity:** Any activity, program, or project of the University that is funded from sources external to the institution or funded through awards or agreements (e.g. grants, contracts, cooperative agreements, congressional appropriations, etc.).



**3.4 Indirect costs:** Costs incurred by an institution in supporting projects funded by monies or resources from outside sponsors and/or agencies. These costs include, but are not limited to, general and departmental support and use of institutional services such as libraries, laboratories, classroom facilities, computer centers, and utilities. They also include services provided through the offices designated to develop and administer sponsored programs and essential administrative services including: accounting, personnel, payroll, accounts payable, accounts receivable, specialized insurance coverage, compliance and regulatory monitoring, independent audits, and legal services that are related to the administration of sponsored programs.

**3.5 Notification of Intent:** A form notifying Sponsored Programs of an individual's or unit's intention to seek external sponsorship.

**3.6 Office of Sponsored Programs:** The office of the University designated to provide facilitation and oversight of the Sponsored Program proposal development and submission process.

**3.7 Principal investigator (PI):** An individual faculty, staff, student, or administrator (also referred to as the project director) who has primary responsibility for technical compliance, completion of programmatic work, and spending of a sponsor's funds.

**3.8 Post-award compliance:** Facilitation to ensure that the terms and conditions of an award are met as dictated by the funding sponsor and other regulatory requirements. Post-award compliance is primarily the responsibility of the principal investigator or project director, with assistance from University Compliance Services, Finance and Business Services, and Auditing.

**3.9 Proposal:** A written description of a request for a sponsored program establishing the need, objectives, projected outcomes, methodology(ies), qualifications of investigator(s), budget plan, and/or any combination of these.

**3.10 Sponsored program:** Contracts, agreements, or gifts to support research, scholarly or creative activities; programs of service; or projects involving funds, materials, other forms of compensation, or exchanges of in-kind items or efforts from government and private or corporate foundation sources external to the University (not to include state appropriations, donations from individuals, or donations from corporate entities that are not corporate foundations). Typical funding mechanisms include, but are not limited to: awards, contracts, cooperative agreements, or congressional appropriations, from federal, state, or local government entities, or from private or corporate foundations.

## 4.0 POLICY



4.1 All sponsored program proposals from the University shall be coordinated and submitted under the direction of the Office of Sponsored Programs and with the approval of the officer(s) designated by the President to administer sponsored program contracts for the University.

## 5.0 PROCEDURES

### 5.1 Pre-Award Activities

#### 5.1.1 Administration

5.1.1.2 The Office of Sponsored Programs is responsible for the oversight, support, coordination, and submission of all sponsored program proposals to advance the programs, activities, and services of the University in accordance with the institutional strategic plan.

5.1.1.3 Each dean or division administrator is encouraged to hire or appoint an officer to be responsible for the support, coordination, and submission of sponsored program proposals within their respective areas of administration. Such officers will coordinate their efforts with the Office of Sponsored Programs.

#### 5.1.2 Sponsored Programs Development Committee

5.1.2.1 A Sponsored Programs Development Committee will be established to recommend procedures for sponsored programs administration and to represent the sponsored program proposal-writing interests and efforts of their respective areas of administration.

5.1.2.2 Members of the Sponsored Programs Development Committee will be appointees of the Faculty Senate, Development Office, and deans or division administrators representative of the major areas of the University concerned with solicitation of external support for research, creative and scholarly activities, programs, and services.

5.1.2.3 The individual designated to develop and administer the Office of Sponsored Programs will serve as chair of the committee.

5.1.2.4 Sponsored Programs Development Committee responsibilities are as follows:

- 1) Serve in an advisory role to develop and promote sponsored program initiatives.
- 2) Disseminate sponsored program information to appropriate individuals within their respective areas of assignment.



- 3) Assist in the formation of effective teams of researchers and/or writers to develop sponsored programs.
- 4) Provide recommendations in matters of institutional sponsored program development.

### **5.1.3 Notification of Intent to Develop Sponsored Program Proposal**

**5.1.3.1** A *Notification of Intent* to develop a sponsored program proposal should be submitted to the Office of Sponsored Programs before initiation of proposal preparation to avoid disallowed multiple requests from the same funding source. This form must be signed by a department chair and dean or division administrator to indicate preliminary approval.

**5.1.3.2** If two or more units have submitted a *Notification of Intent* to submit proposals for the same sponsored program prospect with a limited call for proposals, the following protocol will be used:

- 1) Collaboration among campus units is usually the first and foremost objective.
- 2) If necessary, the following criteria may be used to determine the proposal to be submitted by the University:
  - a) The greatest potential for campus impact;
  - b) The best alignment with the University's mission and strategic plan(s);
  - c) The unit that first submitted their *Notification of Intent*;
  - d) The best alignment with the giving interests of the organization to be solicited; or
  - e) In the case of private or corporate foundations, personal connection with officers of the organization being solicited.

**5.1.3.3** In the case of a disagreement on which unit will take the proposal lead or be allowed to submit a proposal, the Director of Sponsored Programs will negotiate progressively as needed with the involved parties, respective departmental chairs or directors, deans, or division administrators to negotiate a resolution. If necessary, the President's Council may be requested to make a final decision.

### **5.1.4 Sponsored Program Proposal Writing**

**5.1.4.1** The Office of Sponsored Programs will provide assistance with proposal writing, editing, review and recommendations for improvements, review and assistance with budget preparation, and/or preparation of time-line charts, other charts and graphs, preparation of forms, etc.

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**5.1.4.2** Faculty and staff of the University who participate in sponsored program proposal-writing activities may be eligible for reassigned time or compensatory stipends with approval of their respective dean or division administrator and in alignment with other related university work policies.

### **5.1.5 Proposal Review and Approval**

**5.1.5.1** All proposals for externally funded projects that will be conducted under the auspices of the institution must undergo administrative review prior to submission by the following:

- 1) The Office of Sponsored Programs;
- 2) Department chair and/or unit division director of the project investigator/director and the dean or senior administrative officer of the project investigator/director;
- 3) Vice president(s) and the Vice President of Planning, Budget, and Human Resources for requests of more than \$50,000, or which involve more than \$10,000 in matching funds or institutional commitments, or proposals which involve more than one administrative division of the University.

**5.1.5.2** Proposals for projects involving use of humans or animals as subjects of research must be submitted for special institutional review and approval. Generally, grant sponsors expect that this review process will be completed and institutional approval obtained prior to submission of a proposal.

**5.1.5.3** Proposals for sponsored programs will attempt to recapture the maximum amount of indirect costs allowable within the sponsored program and/or according to negotiated agreements with sponsoring entities.

**5.1.5.4** All sponsored program proposals must be signed by the University's designated authorizing official in a timely manner so that the proposal may be submitted prior to the sponsor's deadline.

**5.1.5.5** A summary of all sponsored program proposals in process and submissions will be presented monthly to the President's Council, the University's Board of Trustees, and various other interested or responsible parties on campus. A summary of sponsored program proposals exceeding \$500,000 will be submitted to the Utah State Board of Regents in accordance with Regents' policy.

## **5.2 Post-Award Activities**

### **5.2.1 Acceptance**

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**5.2.1.1** The Senior Vice President of Academic Affairs (or officer designated) shall review and accept all contracts for university sponsored programs and will ensure that such are in the best interest of the University, and that they comply with university and Utah State Board of Regents policies.

**5.2.1.2** The University is obligated to conform and comply with all relevant federal and state statutes and regulations and all directives issued by the Board of Regents, Board of Trustees and Office of the President in the administration of Sponsored Programs and externally-funded activities. In order to meet these obligations, only specific individuals, authorized by the President and/or by university policy to act on behalf of the University, may accept awards from federal, state, or local government entities, or from private or corporate foundations or agencies.

**5.2.1.3** Prior to acceptance of external funding or awards which are in excess of \$500,000, approval by the Utah State Board of Regents must be received. (See Board of Regents' Policy R532 *Acceptance and Approval of Grants and Contracts*).

## **5.2.2 Administration**

**5.2.2.1** University Compliance Services, Finance and Business Services, and Auditing are responsible for institutional post-award compliance with Sponsored Program contracts.

**5.2.2.2** The University is the contracting agency subject to audit and review by sponsors and agencies and is therefore, responsible for the proper expenditure of funds and submission of timely and accurate financial reports.

**5.2.2.3** All Sponsored Program expenditures must be in compliance with federal, state, and local government laws, rules, and regulations, as well as Utah State Board of Regents and university policies and procedures. When there is a variance between any sponsor or agency and university guidelines or laws, the most restrictive guideline or law shall govern.

**5.2.2.4** All external funds awarded to entities of the University or by subcontract to non-university entities will undergo administrative review upon award and throughout the funding cycle as follows:

1) The department chair(s), dean(s), or unit division director(s) will be responsible to ensure that expenditures of external funds are aligned with the funded activities, that reports are submitted in a timely manner, and that awardees meet the terms, conditions, objectives, and/or expectations set forth in the written proposal and/or contract of the awarding organization.



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## Policies and Procedures

2) The office designated to ensure university compliance will be responsible to facilitate compliance with contractual obligations of awards by conducting initial sponsored program orientations with project director(s), providing ongoing consultation as needed, and by reviewing sponsored program activities, records, and reports to ensure compliance with relevant laws, policies, and standards.

3) Changes in the project's budget shall be reviewed by the Office of Sponsored Programs and may also require prior approval of the funding source and/or approval of the Senior Vice President of Academic Affairs (or officer designated).

**5.2.2.5** See Sponsored Programs Flowchart at:

[http://www.uvu.edu/sponsoredprograms/pdfs/sponsored\\_programs\\_policy\\_2008.pdf](http://www.uvu.edu/sponsoredprograms/pdfs/sponsored_programs_policy_2008.pdf)

<b>POLICY HISTORY</b>		
<b>Date of Last Action</b>	<b>Action Taken</b>	<b>Authorizing Entity</b>