



## UTAH VALLEY UNIVERSITY Policies and Procedures

<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>	February 23, 2022
<b>Subsection</b>	Publications, Reports, Research, and Records	<b>Effective Date</b>	February 23, 2022
<b>Responsible Office</b>	Office of the Provost/Academic Affairs		

### 1.0 PURPOSE

**1.1** Utah Valley University benefits from developing financial resources from private, corporate, and government sources in the form of grants, contracts, and cooperative agreements. These financial resources further the University’s mission by facilitating research, workshops, projects, and activities that enrich the scholarly and creative endeavors of faculty, staff, and students, as well as enhance the programs and services provided by the University.

**1.2** This policy provides procedures to coordinate development efforts before proposals are prepared to ensure that conflicting proposal submissions are avoided, to identify and address potential institutional obligations, and to provide appropriate administrative oversight.

### 2.0 REFERENCES

**2.1** *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR § 200 (2013)

**2.2** Utah Board of Higher Education Policy R532 *Acceptance and Approval of Grants and Contracts*

**2.3** UVU Policy 138 *Institutional Review Board*

**2.4** UVU Policy 146 *Sponsored Programs Financial Management*

**2.5** UVU Policy 234 *Coordination of Sponsorship and Advertising*

**2.6** UVU Policy 371 *Corrective Actions and Termination for Staff Employees*

**2.7** UVU Policy 247 *Contract Review and Signature Authority*

**2.8** UVU Policy 635 *Faculty Rights and Professional Responsibilities*

**2.9** UVU Policy 652 *Care and Use of Vertebrate Animals in Research and Instruction*



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

#### 3.0 DEFINITIONS

**3.1 Budget:** For the purposes of this policy, the financial plan or cost assessment for the sponsored program proposal, contract, or award, which reflects all anticipated costs associated with implementation of the sponsored project in compliance with the sponsors' guidelines, government regulations, and university policies.

**3.2 Contract (award agreement):** A binding agreement (usually written) between the University and a sponsoring organization, which includes both specific terms and a commitment to complete a task for a benefit or outcome. This agreement typically includes the following elements: a) an offer; b) an acceptance of that offer which results in an agreement between the two parties; c) a commitment to perform; d) a valuable consideration; e) a time or event when performance must be made to meet commitments; and f) terms and conditions for performance, including fulfilling written or implicit commitments.

**3.3 Cooperative agreement:** Similar to a grant (see grant), a cooperative agreement that provides for substantial involvement between the awarding organization and UVU in designing and carrying out the activities of the award throughout the life of the sponsored program.

**3.4 Cost share (matching):** The portion of the sponsored project's costs that are borne by the University, not the sponsoring organization.

**3.5 Externally sponsored activity:** Any university activity, program, or project that is funded through awards or agreements (e.g., grants, contracts, cooperative agreements, congressional appropriations, etc.).

**3.6 Grant:** A type of sponsored program that involves an award of monetary funding or other tangible resource granted to the University by an external organization, which may include a potentially revocable transfer of monetary funds, or personal or real property. A grant requires an actual or implied contract with a defined scope of work that provides support or stimulation to accomplish a specified purpose, or that provides a specified benefit or intended beneficial outcome in return for the award. If a sponsored program includes a requirement of quid pro quo, sponsor consideration, or sponsor control beyond reasonable designations and criteria placed on the use of the property in the form of implied or written contractual terms and conditions, any such contribution will be deemed a grant (see UVU Policies 137 and 231).

**3.7 Indirect costs (Facilities and Administrative [F&A] costs):** Expenses that the University incurs for common or joint objectives that cannot be readily identified with an individual project or program. Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that usually are treated as F&A costs. UVU's F&A cost rates are established by negotiation with the U.S. Department of Health and Human Services.



## UTAH VALLEY UNIVERSITY Policies and Procedures

**3.8 Notification of Intent Form (NOI):** A form used to notify the Office of Sponsored Programs of an individual's or group's intention to seek external sponsorship in the form of grant or contract requests.

**3.9 Principal investigator/program director (PI/PD):** An individual faculty member, FLSA-exempt staff member, or administrator who has primary responsibility for technical compliance, management of resources, completion of programmatic work, and spending of a sponsor's funds for a sponsored program.

**3.9 Post-award compliance:** The process through which the PI or PD ensures that the terms and conditions of an award are met as dictated by the sponsoring organization and other regulatory requirements.

**3.10 Proposal:** A written (or electronic) request for a sponsored program. This request usually describes the need, objectives, projected outcomes, methodologies, qualifications of principal personnel, evaluation plan, budget plan, and/or any combination of these.

**3.11 Sponsored program:** A potentially revocable transfer of monetary funds, or personal or real property, made to the University by a sponsoring organization for a specified purpose designated by the sponsoring organization, or for a specified benefit or intended beneficial outcome in return for the award, and usually made by an enforceable contract. Sponsored programs do not include, institutional procurement or charitable gifts from private sources. Funds appropriated by the State of Utah for the purpose of funding non-contractual university activities are not considered sponsored programs. A sponsored program should not be confused with a "Qualified Sponsorship" as defined in Policy 234.

**3.12 Sponsored project:** A project supported by a sponsored program. Activities include but are not limited to research, scholarship, creative activities, educational or training activities, or a program of service.

**3.13 Sponsoring organization:** An organization external to the University that provides or awards sponsored programs.

### 4.0 POLICY

**4.1** Utah Valley University shall comply with all relevant federal and state statutes and regulations, and all directives issued by the Utah Board of Higher Education, the UVU Board of Trustees, the Office of the President, and the sponsoring organization in the administration of sponsored programs.

**4.2** This policy applies to all sponsored programs requested and administered by or under the auspice of the University.



## UTAH VALLEY UNIVERSITY Policies and Procedures

**4.3** This policy and its procedures do not supersede any statutes or regulatory directions provided by federal or state sponsors that are included in contracts or agreements for sponsored programs.

**4.4** The Office of Sponsored Programs (OSP) is the University's designated office that provides facilitation for and oversight of proposal development, proposal submission, contractual negotiation and approval, award facilitation, post-award services, and fiscal management processes associated with sponsored programs. The OSP coordinates, approves, submits, and administers sponsored program proposals and contracts for externally sponsored activities of the University. These activities are done with the approval of the executive officer(s) who oversee(s) the departments where these sponsored program activities are to occur.

**4.5** Budget proposals for sponsored programs shall reflect only allowable costs necessary to carry out the proposed program.

**4.6** Proposals for sponsored programs must request the maximum amount of indirect costs allowable from a sponsoring organization.

**4.7** Proposals for sponsored projects involving the use of humans or vertebrate animals as subjects of research are governed by UVU Policies 138 or 652, respectively, and the organizational unit must submit those proposals for institutional review and approval or pre-approval prior to submitting a sponsored program proposal.

### 5.0 PROCEDURES

#### 5.1 Pre-Award Activities

##### 5.1.1 Notification of Intent to Prepare a Sponsored Program Proposal

**5.1.1.1** Before preparing a proposal, an individual or university unit should first submit a *Notification of Intent Form (NOI)* to the OSP. For academic proposals, the NOI must be signed by a department chair and dean; for other proposals, this form must be signed by a unit division director and senior administrative officer.

**5.1.1.2** When more proposals are intended for submission to a sponsoring organization than are allowed by the policies of that organization, collaboration among campus units is usually the first and most preferred resolution. If collaboration is not possible, the OSP will determine which proposal is submitted by the University. In making this determination, the OSP will arbitrate in consultation with respective deans and department chairs and/or division administrators to consider which program:

- Has the greatest potential for campus impact;
- Has the best alignment with the University's mission and strategic plan(s);



## UTAH VALLEY UNIVERSITY Policies and Procedures

- Submitted a *NOI* first to the OSP;
- Has the best alignment with the interests of the organization to be solicited;
- Is in the best state of readiness for submission; and/or
- Has other mitigating factors that need to be considered on a case-by-case basis.

**5.1.1.3** In the case of a disagreement on which unit will take the proposal lead or be allowed to submit a proposal, the Senior Director of Sponsored Programs will consult as needed with the involved parties, respective department chairs or directors, deans, or division administrators to negotiate a resolution. If necessary, the OSP will request that the Provost make a final decision.

### **5.1.2 Proposal Review and Approval**

**5.1.2.1** Prior to proposal submission, the requesting unit(s) submit all final proposals with an accompanying Grant Approval Routing Form, a budget, and all attachments to the OSP a minimum of five business days prior to the sponsoring organization's submission deadline. Proposals not submitted by this deadline may not be eligible for submission. All proposals for sponsored programs must undergo administrative review by the following:

- 1) The OSP and the University Research Officer;
- 2) Department chair(s) or unit division director(s) of the project investigator(s)/director(s) and/or project senior staff;
- 3) Dean or senior administrative officer of the project investigator(s)/director(s); and
- 4) The appropriate vice president(s) and the Vice President of Planning, Budget, and Finance for requests of more than \$100,000;
- 5) If there are matching fund requests that involve more than \$10,000 in cost share or other institutional commitments, approval must be obtained from the department chair or division director, dean or division administrator, and the Vice President of Planning, Budget, and Finance.

**5.1.2.2** The OSP is responsible for submitting all proposals to the sponsoring organization. The Senior Director of Sponsored Programs (or designee) must sign or provide electronic approval of all sponsored program proposals in a timely manner so that the proposal may be submitted prior to the sponsoring organization's submission deadline.



## UTAH VALLEY UNIVERSITY Policies and Procedures

### 5.1.3 Special Institutional Review

**5.1.3.1** Proposals for sponsored projects involving additional financial requirements, program resources, institutional resources, or other considerations that may impact other institutional or organizational units must be submitted to OSP with any appropriate justification for additional institutional review and approval at least ten business days prior to the proposal submission deadline. Proposals that involve major renovation, construction, or significant institutional acceptance may require significantly more time due to relevant policies, procedures, or internal review processes. Such proposals should be started months in advance of the submission date to assure appropriate approval from responsible and impacted offices and entities.

**5.1.3.2** Additional financial requirements include the following:

- Tuition or scholarship funding requested from the grant proposal;
- Donations from other sources;
- Matching, cost share, or leveraging funds or resources required or expected from UVU;
- Subawards, subcontracts, or memoranda of understanding with other participating organizations;
- Any special requirements, attachments, documentation, letters of support, etc., required by the funding organization; or
- Signatures or letters to be signed by the President or a vice president.

**5.1.3.3** Additional program considerations include the following:

- Harmful or restricted chemicals or substances;
- Humans or vertebrate animals as subjects for research;
- An off-site location where sponsored program activities are proposed to be conducted;
- Foreign nationals to conduct sponsored program activities;
- Foreign partners or foreign support; or
- International travel.

**5.1.3.4** Additional institutional resources include the following:

- Classrooms, office space, laboratories, equipment, facilities, etc.;



## UTAH VALLEY UNIVERSITY Policies and Procedures

- Additional computing resources or software;
- Additional data storage space;
- Additional library resources; or

**5.1.3.5** New construction or remodels of existing spaces.

**5.1.3.6** Additional factors of consideration include the following:

- Programs, projects, or activities that duplicate existing resources currently available at UVU;
- The provision of instruction or development of corporate relations outside the UVU service area as set by the Utah Board of Higher Education; or
- The need to create for-credit curriculum or revise existing curriculum.

### **5.2 Post-Award Activities**

#### **5.2.1 Acceptance**

**5.2.1.1** The Senior Director of Sponsored Programs (or designee) shall review and sign all contracts and agreements for university-sponsored programs in accordance with Policy 247 *Contract Review and Signature Authority*, ensuring that these contracts and agreements are in the best interest of the University and that they comply with university and Utah Board of Higher Education policies.

#### **5.2.2 Compliance and Reporting**

**5.2.2.1** Institutional post-award compliance with sponsored programs is primarily the responsibility of the PI or PD with assistance and oversight from OSP, the University Research Officer, and Finance and Business Services.

**5.2.2.2** A summary of all sponsored program proposals that have been submitted and awarded will be presented annually to the President's Council, the UVU Board of Trustees, and other interested or responsible parties on campus.

**5.2.2.3** A summary of sponsored program proposals exceeding \$750,000 will be submitted to the Utah Board of Higher Education in accordance with Utah Board of Higher Education Policy R532.



## UTAH VALLEY UNIVERSITY

### Policies and Procedures

<b>POLICY HISTORY</b>		
Date of Last Action	Action Taken	Authorizing Entity
June 13, 2007	Approved for entrance to Policy Manual.	UVU Board of Trustees
February 23, 2022	Approved for entrance to Policy Manual.	UVU Board of Trustees
September 28, 2023	5.1.2.1 Changed “5)” in the list to be 5.1.2.2	UVU Policy Office
September 28, 2023	3.9 Changed “The process by which” to “The process through which”	UVU Policy Office
September 28, 2023	5.1.3.4 Changed “submit all final proposals with an accompanying Grant Approval Routing Form, budget, and all attachments” to “submit all final proposals with an accompanying Grant Approval Routing Form, a budget, and all attachments” – missing article	UVU Policy Office
September 28, 2023	5.1.3.4 Changed “Remodeling of existing space or new construction” to “New construction or remodels of existing spaces” - parallelism	UVU Policy Office
September 28, 2023	3.6 Removed extra space in “If a sponsored program”	UVU Policy Office