

UC Davis Policy and Procedure Manual

Chapter 230, Sponsored Programs

Section 04, Approval Requirements of The Regents and Office of the President

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Supersedes: 8/26/11

Responsible Department: Office of Research

Source Document: [Contract and Grant Manual](#)

I. Purpose

This section provides the policy and procedures for solicitation and acceptance or execution of certain extramural grants and contracts that require approval by The Regents or by the UC President.

II. Policy

- A. Approval of The Regents is necessary prior to submitting a proposal for research, training, or public service if any of the following is part of the request:
 - 1. A proposal involving facility construction.
 - 2. Assumption of liability for conduct of persons other than University officers, agents, employees, students, invitees, and guests.
- B. Approval by the Office of the President is necessary prior to submitting a proposal for research, training, or public service if any of the following is part of the request:
 - 1. The proposal requests an annual budget exceeding the limits in direct costs per year outlined in [DA2569](#).
 - 2. The proposal includes an arrangement for indirect costs that change the approved negotiated rate (see [Section 230-03](#)).

III. Procedures

- A. Departments must submit proposals seeking extramural support for research, training, or public service to the Office of Research, Sponsored Programs for review.
- B. The Office of Research, Sponsored Programs must identify proposals that need Regental approval.
 - 1. When appropriate, the Office of Research, Sponsored Programs must prepare and submit transmittal letters and supporting documents as described in the Contract and Grant Manual [Section 2-583](#) and [Contract and Grant Memo 97-05](#) to secure approval.
 - 2. Certain proposals may require Regental approval be pursued by other campus departments (e.g., Business Contracts, Architects and Engineers).
 - a. In those cases, the Office of Research, Sponsored Programs must notify the appropriate campus department that Regental approval is required.
 - b. The department responsible for securing the approval must be responsible for preparing and submitting the approval package.
- C. The Office of Research, Sponsored Programs must submit to the Office of the President for review and approval all proposals for research, training, or public service with an annual budget exceeding the limits in direct costs per year outlined in [DA2569](#).
- D. Proposals requesting items that are subsequently approved are then submitted to the sponsor by the Office of Research, Sponsored Programs.

IV. Further Information

Additional information is available from the [Office of Sponsored Programs, Office of Research](#); (530)

747-3828.

V. References and Related Policies

- A. [Standing Order of The Regents 100.4\(dd\)](#).
- B. UC Contract and Grant Manual:
 - 1. [Chapter 2](#)--Proposal Submission and Award Acceptance/Administration.
 - 2. [Chapter 13](#)--Legal Authorities and Principles.
- C. Delegations of Authority:
 - 1. [DA 2569](#), Delegation of Authority--To Solicit and Accept or Execute Certain Extramural Grants and Contracts.
 - 2. [DA 2592](#), Delegation of Authority—To Negotiate and Approve Indirect Cost Rates.
- D. UC Davis Policy and Procedure Manual:
 - 1. [Section 230-01, Private Support of Research](#).
 - 2. [Section 230-02, Eligibility to Undertake Sponsored Research](#).
 - 3. [Section 230-03, Indirect Costs/Facilities and Administration \(F&A\) Costs](#).