

UC Davis Policy and Procedure Manual

Chapter 230, Sponsored Programs

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

Date: 6/16/08

Supersedes: 2/18/95, renumbered 4/14/05

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 \$5,000,000 in direct costs.
 - 2. The proposal includes an arrangement for indirect costs that change the approved negotiated rate (see Section 230-03).

III. Procedures

- A. Departments shall submit proposals for research, training, or public service to the Office of Research for review.
- B. The Office of Research shall identify proposals that need Regental approval.
 - 1. When appropriate, the Office of Research shall 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 shall notify the appropriate campus department that Regental approval is required.
 - b. The department responsible for securing the approval shall be responsible for preparing and submitting the approval package.
- C. The Office of Research shall submit to the Office of the President for review and approval all proposals for research, training, or public service with an annual budget exceeding \$5,000,000 in direct costs.
- D. Proposals requesting items that are subsequently approved are then submitted to the sponsor by the Office of Research.

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 2036, Delegation of Authority--To Solicit and Accept or Execute Certain Extramural Grants and Contracts.
 - 2. DA 2040, Delegation of Authority--Negotiation and Approval of Indirect Cost Rates.
- D. UCD 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.