Sponsored Project Funding: Pre-Award

Samantha J. Westcott
Assistant Director, Sponsored Projects Administration
University of California, Irvine

November 2010
Overview

• University of California Research

• Pre-Award Issues

• Requirements
The University of California

Sponsored Programs support the UC Mission

- External sponsors
- UC to UC
- UCOP sponsored
- Sponsored by another university

Education

Research

Public Service
The University of California

BUSINESS OFFICER INSTITUTE

PRE-AWARD POST-AWARD

Proposal
- Preparation
- Review
- Signoff
- Submission

Award
- Review
- Negotiation
- Acceptance
- Set-up

Project
- Performance
- Reporting
- Cost Management
- Extensions

Closeout
- Review
- Final Reporting
- Closeout
- Record Retention
Impact

• Economic

• Social

• Political

• Quality of life
Sponsored Research Funding

- Grants and Contracts
  - Governmental
  - Private
    - Non-Profit
    - For-Profit
  - UC Systemwide
- Gifts
- Campus seed and bridge funding
- Transactions
  - Material Transfer Agreements
  - Licenses
  - Equipment and Instrumentation Loans
Funding Mechanisms

Gift
- Irrevocable
- Unrestricted
- No SOW
- No Period
- Discretionary

Grant
- Revocable
- Financial Assistance
- SOW
- Performance Period
- Reporting

Contract
- Revocable
- SOW
- Deliverables
- Restrictive
- Performance Period
- Acquisition
Obligations

• Compliance
• Performance with integrity
• Stewardship of public assets
• Upholding the public trust
Guidance for Sponsored Project Administration

UNIVERSITY OF CALIFORNIA
UC Guidance

University Regulation No. 4
University participation in tests and investigations shall be limited to activities which lead to the extension of knowledge or to increased effectiveness in teaching. Routine tasks of a commonplace type will not be undertaken.

www.ucop.edu/acadadv/acadpers/apm/apm-020.pdf
UC Presidential Policy

It is the policy of the University of California that employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.

This requirement is necessary to insure that all research and other extramurally funded projects conducted by University employees, or with the use of University resources or facilities, are approved by the appropriate University contract and grant office and comply with relevant University policies and guidelines . . .

Duties of the President of the University  
(excerpted from section dd)

... the President is authorized to execute on behalf of the Corporation all contracts and other documents necessary in the exercise of the President's duties, including documents to solicit and accept pledges, gifts, and grants ... 

Signature authority for proposals and awards is typically delegated:

• Chancellor, Executive Vice Chancellor, Provost
• Vice Chancellor for Research
• Staff in UC Campus Sponsored Programs Office
  – Director
  – Contract & Grant Officers

www.universityofcalifornia.edu/regents/bylaws/so1004.html
Principal Investigator  Departmental Administrator

Sign

Sign
Principal Investigator

- Eligibility may vary from campus to campus
  - Academic Senate membership
  - Qualified Appointment (generally > 50%)
  - Exception
- Requirements
  - Responsible for scientific, administrative and financial management of project
  - Participate to a significant degree
Pre-Award Process

1. Idea
2. SOW
3. Budget
4. Peer Review
5. Award
6. Search
7. Review
8. Route
9. Submit
The University of California

Award Acceptance Process

Notice  →  Review  →  Negotiation

Account Assignment  ←  Acceptance
COMPLIANCE AND INTEGRITY
Conflict of Interest

A situation where an individual’s outside financial interest(s) or obligations bias or have the potential to bias the conduct and management of a research project.

Unmanaged or undisclosed COI may lead to:

- Scientific misconduct
- Misuse of UC facilities
- Improper direction of UC personnel
- Delays in publishing
- Improper channeling of funds
- Failure to recognize UC interests
- Erosion of public trust
Research and Acquisition Disclosures

- Interests in non-governmental Sponsors
  - Financial
  - Management
- PI/Co-PI/Spouse/Dependent Children

- Separate University and private interests
- Recuse from decision-making
- No purchases, leases, subcontracts
- Exceptions after campus review

www.ucop.edu/ucophome/policies/bfb/bus43p7.pdf
COI Along the Award Cycle

Proposal 700-U

Award PHS/NSF Disclosure

Project Annual PHS Disclosure
Human Research

Any systematic investigation designed to develop or contribute generalizable knowledge and which uses living humans or identifiable information about living humans.

Applies regardless of funding source.

Must be registered and approved by campus IRB before recruiting subjects and commencing human research.

All research staff must receive training before engaging in human research.
Animal Use in Research

Use of animals must comply with Federal regulations regardless of funding source.

Animals generally means a live vertebrate.

All animal procedures must be approved by the campus IACUC prior to commencing project work that involves animals.

All personnel must have received training regarding the handling of animals.
Environmental Health & Safety

- Biohazards and toxic materials
- Potential environmental impact
- rDNA and pathogens
Safety Committees

- Institutional Biosafety
- Radiation Safety
- Embryonic Stem Cell Research Oversight
Areas of Concern

- ARRA and FFATA Reporting
- Cost Transfers
- Cost Sharing
- Effort Reporting
- Subrecipient Monitoring
- Responsible Conduct of Research

- Fraud
- Waste
- Abuse and Mismanagement
- Export Controls
- Citizenship Requirements
- Effective Oversight
Sponsored Programs support the UC Mission

As stewards of public funds, UC employees have an obligation to do the right thing. Our reputation is everything.