
UCLA Procedure 910.1: Approval and Submission of Contract and Grant Proposals

Issuing Officer: Executive Vice Chancellor

Responsible Dept: Office of Sponsored Research

Effective Date: July 1, 1998

Supersedes: UCLA Procedure 910.1, dated 9/1/82

I. REFERENCES

II. OBJECTIVE

III. GENERAL POLICY

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I. REFERENCES

1. Standing Order 100.4(dd) of The Regents of the University of California concerning delegation of authority to the President;
2. Delegation of Authority: No. 5250.1 "To Solicit, Accept, or Execute Certain Extramural Grants and Contracts," from President Saxon to Chancellors, 6/29/78; and from Chancellor Young to Administrative Vice Chancellor Hobson, et al., 2/1/82;
3. University of California Policy and Procedure Manual for Contract and Grant Administration;
4. UCLA Policy 900, Eligibility to Serve as Principal Investigator for Extramurally Funded Projects.

II. OBJECTIVE

To establish a procedure for the review, approval, and submission of proposals for extramurally funded research, training, and public service projects.

III. GENERAL POLICY

The President of the University is authorized to solicit and accept pledges, gifts, and grants and to execute on behalf of The Regents all contracts and other documents necessary in the exercise of his duties. Much of the President's authority has been re-delegated to Chancellors of the various campuses. The Chancellor's authority concerning solicitation, acceptance, and execution of certain extramurally supported contracts and grants has been re-delegated to the Vice Chancellor, Research, and the Directors and Officers of the Office of Sponsored Research (OSR). Certain proposals and other contractual documents must be executed by the President, the Vice President, or The Board of Regents of the University. Among these are proposals or awards involving direct costs in excess of \$1,000,000 for any one year, which must be approved by the Board of Regents.

Within this context, OSR is responsible for the negotiation, execution, and administration of contracts and grants for extramurally funded projects at UCLA, and for submitting proposals to federal and non-federal sponsors (including industrial and commercial concerns, universities, governments, and other institutions) for the support of research, training, and public service projects. All proposals (new, revised, continuation, renewal, and supplemental) are to be

processed in accordance with this procedure. Principal Investigators are not to submit proposals on their own behalf, or make commitments to sponsors that would disregard these procedures.

IV. PROCEDURES

RESPONSIBILITY	ACTION
Principal Investigator	Develops and prepares a proposal in accordance with prescribed agency and University policies within sufficient time to ensure that all review deadlines will be met.

RESPONSIBILITY	ACTION
Principal Investigator (cont'd)	<p>Completes a Request for Proposal Approval and Submission (OCGA Form 1, referred to as "Goldenrod") in accordance with form instructions. (See Attachment A.)</p> <p>Secures proper signatures on proposal, Goldenrod, and any other required approval forms in accordance with agency and University requirements. As applicable, the following forms and/or documents must be completed:</p> <ul style="list-style-type: none"> • HUMAN SUBJECTS USE -- completes requisite forms, available from the Human Subject Protection Committee, and submits them with any necessary documentation to the appropriate Committee for review and approval. For those projects exempt from review and approval under current policies of the Federal Government and the University, completes Statement of Exemption from Review by Human Subject Protection Committee (HS Form 7), obtains signature of Department Chair, and includes copy of form with proposal package. • IONIZING RADIATION USE -- obtains proper approval signatures on Approval Form for Departments Requesting Research Contracts and Grants Involving the Use of Ionizing Radiation (Form EHS-2) and includes form with proposal package. • COMPUTING SERVICES USE -- obtains proper approval signature on Statement of Computing Resources Requirements for Proposed Research Project (Form OAC-224) and includes form with proposal package. • COMPUTING EQUIPMENT PURCHASE OR ACQUISITION -- completes Form OAC-224. Additionally, if the proposed equipment costs \$10,000 or more per unit or system, prepares a memo addressed to Vice Chancellor - Research describing the equipment and demonstrating the necessity of its acquisition for the successful execution of the proposed project. The form and memo should be included with the proposal package. The memo will be forwarded by the Office of Sponsored Research to the Vice Chancellor for approval. • SUBCONTRACTS -- obtains an official proposal from the institution or agency expected to conduct a portion of the research or technical effort of the project and includes it with proposal package. Additionally, as soon as subcontract use is determined, coordinates with Purchasing Division of Materiel Management the preparation and issuance of formal Request for Proposal or Invitation for Bid. • INDIRECT COST RATE EXCEPTION -- If the proposed funding agency has an indirect cost rate policy inconsistent with that established in the UC Contracts and Grants Manual, Chapter 8, obtains agency's written policy concerning payment of indirect costs, and includes copy with proposal package. • PRINCIPAL INVESTIGATOR EXCEPTION -- prepares memo addressed to Vice Chancellor - Research in accordance with UCLA Policy 900 and includes with proposal package. The memo will be forwarded by OSR to the Vice Chancellor for approval.

RESPONSIBILITY	ACTION
Principal Investigator (cont'd)	<ul style="list-style-type: none"> ● NON-GOVERNMENTAL AGENCY FUNDING --completes a separate Principal Investigator's Statement of Economic Interests (Form 730-U) for each Principal Investigator and Co-principal Investigator listed on any proposal requesting funding from a non-governmental agency, and includes original and two copies of each form with proposal package. ● AGENCY PROPOSAL GUIDELINES -- includes with proposal package a copy of program announcement or agency proposal guidelines, especially if proposal is in response to Request for Proposal, Request for Quotation, or Invitation for Bid. <p>Forwards proposal package, including completed proposal, Goldenrod, and required approval forms to Department Chair or Organized Research Unit (ORU) Director</p> <p>Note: If Principal Investigator or Co-principal Investigator's primary academic appointment is other than the academic department where the proposed research will be conducted, signatures of each Department Chair and of the responsible Dean(s) must be obtained.</p>
Department Chair or ORU Director	<p>Reviews proposal and accompanying documentation, with particular attention devoted to the following areas:</p> <ul style="list-style-type: none"> ● The appropriateness of time commitments outlined for both faculty and staff. Other time commitments of those involved including teaching, administrative responsibilities, Academic Senate duties, and other extramurally funded activities should be considered. The appropriateness and accuracy of titles and salary levels specified should be confirmed. ● The eligibility of individuals to be Principal Investigators or Co-principal Investigators. <p>Note: The signature of the Chair/Director on a Goldenrod designating an individual who is not a member of the Academic Senate as Principal Investigator or Co-principal Investigator constitutes a request for exception to the policy.</p> ● Any cost-sharing and/or matching funds requirements which are indicated in the proposal. Matching funds will be provided from school or department resources unless other arrangements are made in advance. Fund sources for meeting matching requirements must be specifically identified; in the absence of such documentation, it may be assumed that the signature of the Chair/Director constitutes an assurance that funds are available to meet the matching requirements. Proposals which include cost-sharing should be reviewed to determine if this commitment can be met without detriment to other approved instructional and research activities. ● The availability of space to carry out the proposal. The signature of the Chair/Director indicated approval of space arrangements specified on Goldenrod and verifies that suitable space is available. <p>Note: If the project is to be carried out using facilities of the Jonsson Comprehensive Cancer Center (Floors 8-15 of the Factor Building), the signature of the Cancer Center Director is also required.</p> ● Statements regarding involvement of human subjects. ● Any equipment acquisitions contemplated by the proposal. The Chair/Director is responsible for assuring that, where appropriate, equipment screening procedures have been followed.

RESPONSIBILITY	ACTION
Department Chair or ORU Director (cont'd)	If proposal is approved, signs Goldenrod where indicated and proposal as required.
	If applicable, forwards proposal and accompanying documentation to responsible Dean of the school or college. Note: If review by Dean is not applicable, skip to Principal Investigator section below.
Dean	Reviews proposal in accordance with criteria set forth above for Department Chair or ORU Director.
	If proposal is approved, signs Goldenrod where indicated and returns proposal and accompanying documentation to the Principal Investigator. Note: If either the Chair/Director or Dean does not approve proposal, it should be returned to the Principal Investigator. Principal Investigators in the School of Medicine who are submitting proposals involving cancer research may have the proposal reviewed by the Director of the Jonsson Comprehensive Cancer Center in lieu of the Dean.
Principal Investigator	Ensures that completed Goldenrod, correct number of proposal copies for agency, 2 additional proposal copies for OSR, and all required accompanying forms and/or documents are delivered to OSR for final review and submission to the funding agency as soon as possible, but at least 3 working days prior to date proposal must be mailed to meet the agency deadline. If the "3 working days" deadline is not met, OSR cannot accept responsibility for the timely delivery of the proposal to the agency.
OSR	Reviews Goldenrod, proposal, and all other accompanying documentation and material for compliance with University, campus, and agency requirements. Included in the review is the determination that: <ul style="list-style-type: none"> • Principal Investigator is eligible in accordance with campus policy. • All required approval signatures have been obtained, and other administrative requirements have been met. • Correct overhead and fringe benefits rates have been properly applied. • Agency proposal instructions have been followed. • Applicable terms and conditions are acceptable to the University (or will be negotiated prior to acceptance of any resultant award). • Proposal budget is reasonably accurate.
	Determines whether proposal requires administrative corrections. Coordinates any necessary changes with Principal Investigator and Departmental Administrators.
	Prepares a letter of transmittal, signs letter and proposal, as appropriate, and mails proposal package to the agency.
	Sends copy of transmittal letter to Principal Investigator and Departmental Administrator.

V. ATTACHMENTS

- A. Request for Proposal Approval and Submission (Goldenrod, OCGA Form 1).
See Office of Contract & Grant Administration Web site –
www.research.ucla.edu/sr2/GoldRinfo.htm for interactive Goldenrod form and
instructions on how to complete and submit.

Issuing Officer

/s/ Wyatt R. Hume

Executive Vice Chancellor

**Questions concerning this policy or procedure should be referred to
the Responsible Department listed at the top of this document.**
