511-003-C: Policy on Approval and Submission of Proposals and Acceptance of Externally Funded Awards

I. Background
The University Corporation at Monterey Bay (“University Corporation”) is the legal submitter/applicant and recipient of external funding on behalf of California State University, Monterey Bay (“CSUMB”).

Sponsored Programs Office (“SPO”) on behalf of the University Corporation is responsible for all externally funded projects/programs, including proposal development, proposal submission, award acceptance, award management, project closeout and audit. University Advancement (“UA”) is involved in the process for all private grant proposals. CSU Executive Order No. 890, Administration of Grants and Contracts in Support of Sponsored Programs requires that all proposals be routed to various campus administrators for review and approval before they are submitted or awards are accepted.

Sometimes awards vary significantly from the proposals that were originally approved through the campus approval process. Such situations may cause problems when the award varies significantly in the areas of assigned time and/or cost share. The following policy will govern (1) the approval and submission of proposals and (2) the acceptance of awards which vary significantly enough from the original proposals that they require further review and approval before project work begins.

II. Policy

A. Approval and Submission of Proposals: All proposals for externally funded projects that will be conducted under the auspices of the University Corporation must undergo administrative review prior to submission, including:

1. Approval of the appropriate department chair(s)/director(s)
2. Approval by the appropriate college dean(s) or Appropriate Administrator(s)
3. University Advancement for private grants
4. SPO for budget and compliance review
5. Approval by the Chief Financial Officer/Vice President for Administration and Finance
6. Approval by the Provost/Vice President for Academic Affairs (President’s designee)

Additional reviews from the following departments may occur after the proposal has been submitted:
1. Information Technology department review of the proposal’s impact on campus technology infrastructure
2. Health and Safety
3. Other departments affected by the proposal

B. **Authorized Signatures:** Any Institutional proposal for external funding, grant, contract or assurance required by granting and contracting agencies must be signed by the University Corporation’s designated Authorizing Official. The Director of SPO is the authorized representative on behalf of grants and contracts for the University Corporation.

C. **Acceptance of Awards:** Once the award notification (i.e., grant award, agreement or contract, purchase order, or letter of intent, amendment/modification, etc.) is received, it must be reviewed and accepted by SPO prior to beginning work on the project. UA must also review and approve all private grant awards. SPO will coordinate the review and approvals of other departments on campus as needed. SPO shall work with University Corporation Grants Accounting and the Project Director/PI to process the award in a timely manner.

D. **Administration of Sponsored Programs Office:** The University Corporation shall act as the administrator and financial liaison for all externally funded grants. The University Corporation shall act as the fiscal agent for awards and their amendments and have responsibility for award financial administration within policy and practice. The management of grants and contracts will follow the procedures set by the University Corporation, as appropriate. All exceptions to this policy will require approval from the University’s Chief Financial Officer/Vice President of Administration and Finance or the Provost/Vice President of Academic Affairs.

The University Corporation is legally responsible and accountable to the Funding Agency for the use of the funds provided and the performance of the grant or contract. In order to meet these obligations, the Director of Sponsored Programs Office is authorized by the University Corporation Board of Directors to act on behalf of the University Corporation to accept grants and contracts awarded by private agencies and federal, state, and local government agencies. The University Corporation is the contracting agency subject to audit and review by these granting agencies and is therefore responsible for the proper expenditure of funds and submission of timely and accurate financial reports.

E. **Employer:** Project personnel are employees of the University Corporation, making the University Corporation legally responsible for meeting federal and state laws and regulations governing all aspects of employment. All recruitment and appointment activities must adhere to University Corporation policies and procedures. In hiring, managing, paying, evaluating and terminating employees,
511-003-C: POLICY ON APPROVAL AND SUBMISSION OF PROPOSALS AND ACCEPTANCE OF EXTERNALLY FUNDED AWARDS

Project Directors/PIs must work within University Corporation personnel policies and confer and cooperate with the University Corporation Human Resources Manager in all matters related to personnel.

II. Terms and Definitions

A. **Assigned Time**: Time bought out (reimbursed) by a grant or contract for a university employee/faculty member paid from state general fund monies.

B. **Award**: A document that officially declares a proposal is funded, provides details about the award and contains the necessary approval signatures.

C. **Cost Share**: Costs provided by the University through state general fund, University Corporation or third-party funds, or in-kind services that are required to support a grant or contract.

D. **Project Director**: Faculty or staff submitting the proposal. In the case of multiple project directors, “co-director” is used. The term Principal Investigator (“PI”) may also be used.

III. Deadlines

Due to the volume of proposals submitted for external funding, SPO (also UA if private funds) should be notified as soon as the decision is made to develop a proposal. In addition, proposers should notify their immediate supervisor(s) once the decision is made to submit a proposal. To provide better service and meet the required proposal deadline(s), SPO needs a detailed budget and narrative for all pre-proposals, letters of intent with budgetary obligations and proposals in the SPO office no later than five working days prior to the program deadline. Doing so guarantees proposers the full range SPO services and the time to make any required changes. If a proposal arrives later than this deadline, SPO (UA for private funds) cannot guarantee timely submission nor be held accountable for errors and omissions.

If Federal Express mailing is necessary, SPO requires the completed proposal will all required administrative approvals in the SPO office by noon of the day before the deadline. This will allow the time necessary to copy and package the proposal.

IV. Adoption and Review

A. The University Corporation’s Board of Directors has adopted this Approval and Submission of Proposals and Acceptance of Externally Funded Awards Policy, dated June 2004. The University Corporation’s Board of Directors has adopted this Approval and Submission of Proposals and Acceptance of Externally Funded Awards Policy-B, dated June 2010.
B. This policy shall be evaluated ten years from its adoption date to determine its effectiveness and appropriateness. The policy may be evaluated before that time as necessary to reflect substantial organizational, financial, or physical change(s) at the University Corporation or any change required by law or by other governing policy.

Any proposed amendments or variations of this policy would require a majority approval by the corporation Board of Directors.

V. Related Documents
CSU Executive Order No. 890, Administration of Grants and Contracts in Support of Sponsored Programs