

## **MEMO**

**TO:** Deans, Department Heads, Directors, and Research PI's

**FROM:** Brent C. Miller, Interim Vice President for Research  
M. K. Jeppesen, Associate Vice President for Research

**DATE:** November 17, 2000

**SUBJECT:** Updated procedures for processing extra-mural funding

The Following University policies and procedures are being provided for your guidance in submitting proposals to outside funding agencies. It is important that these procedures be adhered to when preparing and processing all proposals for contract/grant agreements, which will involve USU personnel and or resources.

The USU Contract/Grant (C&G) office is designated as the official point of contact for review, approval, and signature processing of all sponsored program proposals. In order to provide consistency and to ensure compliance with appropriate laws and regulations, the C&G office must receive applicable documents related to sponsored projects for review, approval and signing. All negotiations shall include a representative of the C&G office. Every proposal generated must have a Proposal Approval Form (CG-01) with appropriate signatures. Certain elements must be carefully considered, such as conflict of interest disclosures, waiver of facilities and administrative costs, cost sharing approvals, etc.

When submitting to outside funding agencies:

Prepare proposals in accordance with agency instructions. If help is desired with budget format, strategy, etc., it is suggested that the services of the C&G Office be used. This office is located in Old Main, Room 64, Extension 71226. Contact with this office should be made early in the proposal preparation stage. The C&G Office can assist with proposal format, special requirements, and verification of budget content. Contract Administrators are highly trained in the complex and technical elements of proposal preparation and are available to provide assistance.

The C&G office has been designated as the official point-of-contact for all proposal coordination and signing. In order to be consistent and comply with government requirements, the following steps are required before final approval can be obtained from the C&G Office and the Vice President for Research.

1. A copy of the Request For Proposal (RFP), when provided by the agency should be supplied to the C&G Office.
2. The original fully signed copy of the CG-01 should be completed:
  - a. Secure the appropriate signatures of the director and/or department head and dean on the CG-01; current forms are available from the C&G office or the USU/Contract/Grant Web page. Whenever several departments or colleges are involved, the department head and dean of each area must sign. This form is an absolute requirement for approval purposes; it is not transmitted to the granting agency as a part of the final proposal.

- b. It is important that administrators signing the concurrence section of the CG-01 realize that items referenced within the certification portion must be provided, or included, as a part of the approval planning. The need for meeting additional physical space requirements beyond present occupancy must be determined and approved by the appropriate official before the proposal is submitted to a funding agency.
  - c. Contract/Grant proposals over \$1,000,000, proposals requiring cost sharing from the VP for Research Office, and proposals with other special considerations, must be approved by the Vice President for Research.
  - d. Signature from the Office of Provost must be obtained on the CG-01 form if a proposed project requires future financial commitment for courses or training that will be on-going in future years.
3. Conflict of Interest Disclosure: University policy requires that a Conflict of Interest disclosure be submitted annually by all principal investigators, co-principal investigators and others who have fiduciary responsibility. Separate disclosure statements must be submitted for National Science Foundation proposals. Proposals involving any personnel associated with the project who will have fiduciary responsibility require a Conflict of Interest Disclosure. If the status of your disclosure changes anytime throughout the year a new disclosure must be approved and submitted through the appropriate channels and maintained on file with the Vice President for Research Office. Forms are available in the C&G office or on the USU/Contract/Grant Web Page ([www.usu.edu/~contract/home.html](http://www.usu.edu/~contract/home.html)).
  4. Other required forms as applicable: Complete and provide any other required forms (Cost sharing approval, waiver of F&A costs, etc.). If cost sharing is a part of the proposal, a letter of commitment or authorization must be signed by the official responsible for providing such cost sharing.
  5. **A copy of the proposal: The proposal and CG-01 should be submitted to the C&G office at least two (2) days prior to the date on which the proposal is to be mailed to the granting agency unless committee approval is necessary, in which case a two (2) week lead time is requested. Two days is the minimum time normally required to ensure sufficient processing and approval.** The C&G office is prepared to meet emergency situations. If an emergency situation occurs, the C&G office will make every effort to meet the required time frame. Emergency situations are exceptions, and should be held to a minimum.

Affiliated organizations such as the Utah State University Research Foundation, which include USU personnel and/or resources with proposals being prepared, must establish specific procedures for review and approval with the appropriate director and/or department head, dean, and the Vice President for Research. The C&G office must sign these proposals.

The C&G office will assist in budget preparation, business aspects of the proposal, representation and certifications, and any special requirements imposed by the funding agency. The principal investigator is responsible for the technical proposal and content. Proposal templates and examples are available from the C&G office and the USU/Contract/Grant Web page ([www.usu.edu/~contract/home.html](http://www.usu.edu/~contract/home.html)).

It is the responsibility of the Principal Investigator (PI) to transmit the proposal directly to the prospective agency after **all** USU conditions are met and appropriate signatures secured. The C&G office will assist in every way possible, but the timely submission of proposals to meet granting agency deadlines remains the responsibility of the Principal Investigator.

Awards/Modifications of Contracts/Grants: the C&G office as the official representative of the University must sign all awards and modifications. This office is the receiving office for all awards. Upon receipt, the C&G office will obtain necessary approvals, sign, and return the award to the appropriate agency. Only the USU C&G office is authorized to set up an authorized account number. Appropriate documents will be provided to the Principal

Deans, Department Heads, Directors, and Research PI's

17 November 2000

Page 3

Investigator, Vice President for Research, and others on the mailing list. Any subsequent changes or adjustments to the submitted proposal must be approved by the C&G office prior to resubmittal to the granting agency.

Questions concerning the submittal of proposals, the receipt of Contract/Grant award, and the negotiation of such funding should be directed to the C&G office at 797-1226.

BCM/dpr  
Attachment