Delegation of Authority Transmittal Sheet

Title of delegation: Authority to Solicit and Accept or Execute Certain Extramural Grants and Contracts on behalf of the Regents of University of California, Santa Cruz.

Campus DA# SCDA RCG002


Summary of proposed delegation: This delegation provides the authority to solicit and accept or execute certain extramural grants and contracts for extramurally supported research, scholarly or professional training or public service programs.

Proposed delegation to (title): Executive Vice Chancellor
Vice Chancellor for Research
Director, Office of Sponsored Projects (OSP)
Assistant Director, OSP
Special Agreements Officer, OSP
Contract & Grant Officer, OSP
Officer, OSP
Analyst, OSP

Reason for delegation: To increase the execution authority of the above listed administrative officers.

Restrictions/Authority for Subsequent Redelegation:

This authority may NOT be redelegated.

Delegation documentation:

Individual with whom authority now rests (title): Chancellor

☐ New or ☐ Confirms or ☑ Supersedes: This delegation of authority supersedes SCDA-RCG0001, issued and effective December 5th, 2005.

B. Supporting documents
   ☑ documentation of current authority
   ☑ UCOP delegation

Approval(s)/Signature(s): (One signature is required—the Senior Administrative Officer (SAO) whose area of responsibility the authority is generally assigned. Other signatures are optional at discretion of the SAO, e.g., signature of individual proposing delegation.)

Scott Brandt, Vice Chancellor for Research 9/15/14

Date

Alison Galloway, Campus Provost and Executive Vice Chancellor

Date
Authority to Solicit and Accept or Execute Certain Extramural Grants and Contracts on behalf of the Regents of the University of California, Santa Cruz
(Delegation of Authority SCDA-RCG002)

I. Delegation Summary

Delegated To:
Executive Vice Chancellor
Vice Chancellor for Research
Director, Office of Sponsored Projects (OSP)
Assistant Director, OSP
Special Agreements Officer, OSP
Contract & Grant Officer, OSP
Officer, OSP
Analyst, OSP

Delegated By: Chancellor

Scope of Delegation:
This delegation provides the authority to solicit and accept or execute certain extramural grants and contracts for extramurally supported research, scholarly or professional training or public service programs.

Effective Date: Sept 26, 2014

II. Detailed Delegation

A. Detailed Delegation Statement

This delegation confirms the authority of the administrative officers listed below to approve proposals with annual direct costs not exceeded as specified, and to accept and execute certain extramural grants and contracts with annual direct costs as specified, subject to all conditions and limitations in the delegation to the Chancellor, DA2569 (http://policy.ucop.edu/_files/da/da2569.pdf)
<table>
<thead>
<tr>
<th>Redelegated to</th>
<th>Authority to approve and submit proposals with \textit{annual} direct costs not exceeding:</th>
<th>Authority to determine necessity of legal review before acceptance/execution:</th>
<th>Authority to accept or execute grants or contracts with \textit{annual} direct costs not exceeding:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Vice Chancellor</td>
<td>$10,000,000*</td>
<td>Yes</td>
<td>$10,000,000*</td>
</tr>
<tr>
<td>Vice Chancellor for Research</td>
<td>$5,000,000</td>
<td>Yes</td>
<td>$5,000,000</td>
</tr>
<tr>
<td>Director, OSP</td>
<td>$3,000,000</td>
<td>Yes</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>Assistant Director, OSP</td>
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<td>$3,000,000</td>
</tr>
<tr>
<td>Special Agreements Officer, OSP</td>
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<td>Yes</td>
<td>$2,000,000</td>
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<tr>
<td>Contract &amp; Grant Officer, OSP</td>
<td>$1,000,000</td>
<td>Yes</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Officer, OSP</td>
<td>$1,000,000</td>
<td>Yes</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Analyst, OSP</td>
<td>$1,000,000</td>
<td>No</td>
<td>$1,000,000</td>
</tr>
</tbody>
</table>

*$10M in direct costs per year for contracts and grants from higher education institutions, federal or State of California agencies; $5M in direct costs per year for any other sponsor type.

**B. Restrictions/Exceptions**

Exercise of this authority is subject to all the restrictions, limitations, conditions, and instructions outlined in the Presidential Delegation of Authority to Chancellors, DA2569, dated April 19, 2012 as well as the following:

1. In accordance with established campus procedures, all contract or grant proposals will be processed through the UCSC Office of Sponsored Projects prior to submittal.

2. This re-delegation does not extend to the solicitation and acceptance of gifts, as outlined in the Presidential Delegation of Authority to Chancellors, DA2011, dated March 23, 1994.

3. A determination of the necessity for legal review by the Office of Sponsored Projects Director, or their designee, will be made before acceptance or execution of any contract or grant.

**C. Authority to redelegate**

This authority may \textbf{NOT} be redelegated.
D. Definitions

Grant vs. Gift:
In general, funds should be classified as gifts when the following characteristics exist:
- The donor does not impose contractual requirements;
- Funds are awarded irrevocably.

In general, funds should be classified as grants when the following characteristics exist:
- Provision for audits by or on behalf of the grantor;
- The grantor is entitled to receive some consideration such as a detailed technical report of research results or a report of expenditures;
- Testing or evaluating of proprietary products is involved;
- The research is directed to satisfying specific grantor requirements (e.g., terms and conditions stating a precise scope of work to be done rather than a general area of research);
- A specified period of performance is prescribed or termination is at the discretion of the grantor;
- Funds unexpended at end of period shall be returned to the grantor;
- Patent rights requested by grantor.

For the purposes of this delegation, the term grant includes grants from private sources, but excludes gifts. Additional details are found in the Guidelines for review of Gifts/Grants for Research issued by the President on July 8th, 1980 and revised November 2011.

III. “Supersedes” Notification

This delegation of authority supersedes SCDA-RCG0001 issued and effective December 5th, 2005.

IV. Getting Help

The Office of Sponsored Projects (http://officeofresearch.ucsc.edu/osp/) can respond to questions about this delegation of authority.

V. Authority/References

"Delegation of Authority--To Solicit and Accept or Execute Certain Extramural Grants and Contracts", Presidential Delegation of Authority to Chancellors DA2569, dated April 19, 2012:

Guidelines for Review of Gifts/Grants for Research issued by the President on July 8, 1980:
http://www.policies.uci.edu/doa/ida235.html#attachment

The UC Contract and Grant Manual, revised September, 2012:

UC Development Reference Guide, revised April 2014:
http://policy.ucop.edu/manuals/

VI. Copies

The following individuals/offices were provided copies of this delegation:

UCOP: University-wide Policy office
    General Counsel and Vice President for Legal Affairs

UCSC: Campus Controller
    Director, Internal Audit
    Policy Coordination