
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 SCDA2569.01)


I. Delegation Summary

Delegated To:

Executive Vice Chancellor
Vice Chancellor for Research
Assistant Vice Chancellor for Research, Industry Alliances and Technology Commercialization (IATC)
Industry Agreements Officer, Industry Alliances and Technology Commercialization
Director, Office of Sponsored Projects (OSP)
Assistant Director, OSP
Contract & Grant Officer, OSP
Officer, OSP
Analyst, OSP

Delegated By: Chancellor

Effective Date:

 5/31/17
Chancellor, George R. Blumenthal Date

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.

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.

B. Restrictions/Exceptions

Redelegated to:	Authority to approve and submit proposals with annual direct costs not exceeding:	Authority to determine necessity of legal review before acceptance/execution:	Authority to accept or execute grants or contracts with annual direct costs not exceeding:
Executive Vice Chancellor	\$10,000,000*	Yes	\$10,000,000*
Vice Chancellor for Research	\$5,000,000	Yes	\$5,000,000
Assistant Vice Chancellor for Research, Industry Alliances and Technology Commercialization (IATC)**	\$4,000,000	Yes	\$4,000,000
Director, OSP	\$3,000,000	Yes	\$3,000,000
Assistant Director, OSP	\$3,000,000	Yes	\$3,000,000
Industry Agreements Officer, IATC**	\$2,000,000	Yes	\$2,000,000
Contract & Grant Officer, OSP	\$1,000,000	Yes	\$1,000,000
Officer, OSP	\$1,000,000	Yes	\$1,000,000
Analyst, OSP	\$1,000,000	Yes	\$1,000,000

- \$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.
- ** Pertaining only to industry agreements (industry research agreements, collaboration agreements, consortia agreements) and material transfer agreements.

C. Authority to re-delegate

This authority may 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-RCG002 issued and effective September 26, 2014.

IV. Getting Help

The Office of Sponsored Projects or Office of Industry Alliances and Technology Commercialization can respond to questions about this delegation of authority.

If you need help with ...	Contact ...
Industry Agreements or Material Transfer Agreements	Office of Industry Alliances and Technology Commercialization: https://officeofresearch.ucsc.edu/licensing/index.html
All other questions related to this delegation	Office of Sponsored Projects: https://officeofresearch.ucsc.edu/osp/index.html

V. Authority/References

Authority to make this delegation is documented as follows:

"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:

<http://policy.ucop.edu/files/da/da2569.pdf>

Guidelines for Review of Gifts/Grants for Research issued by the President on July 8, 1980:

<http://policy.ucop.edu/doc/2500561/GiftsGrantsforReserach>

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

<http://ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/chapter2/index.html>

UC Development Reference Guide, revised April 2014:

<http://policy.ucop.edu/manuals/>

VI. Copies

The following individuals/offices were provided copies of this delegation

UCSC:

Vice Chancellor for Research, Scott Brandt
Campus Controller, Kirk Lew
Director, Internal Audit, Barry Long
Policy Coordination Office, Diane Lallemand