

# Revisions & Reminders to Sponsored Research Approval Process Policies & Procedures

Office of Research  
UCSF  
Effective February 1, 2012

# Introduction

- In 2010, the Approvals Subgroup of the Operational Excellence Initiative's Research Administration Work Group was charged with determining options for reducing the number of approvals within the schools and departments for pre-award activities that currently exist in the UCSF system.
- The leadership (Chairs and/or administrative directors) of 16 departments across the four Schools were interviewed about at what point in their current contracts & grants approval processes signatures could be eliminated or needed to be maintained, and why.
- The following policy & procedures revisions, which were reviewed, vetted and approved by the OE Research Administration Work Group and the Deans of each of the four Schools, were developed based on the sentiments and needs of these departments and schools.

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1. PI Status Waiver

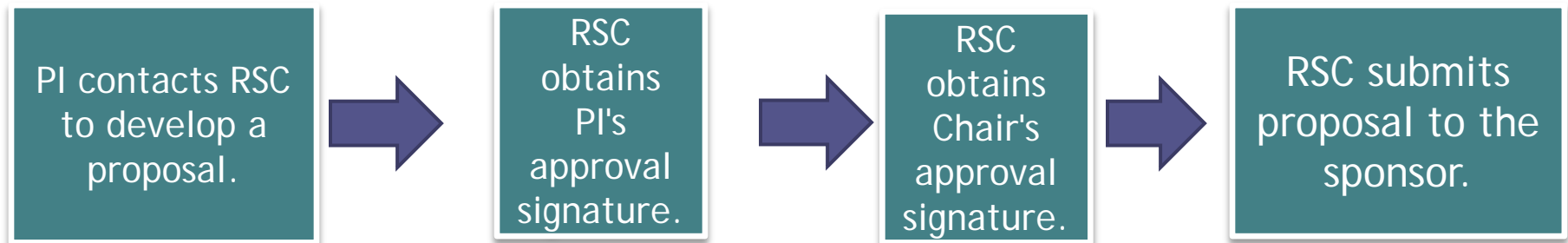
# Procedure Reminder

The number of officially required signatures for new, resubmission, and competitive renewal proposals are limited to the Principal Investigator/s (PI)\* or Project Director (PD), the Chair/s (or Chair's delegate)\*, and the Authorized Institutional Signatory.

- School of Nursing and School of Dentistry no longer require Dean's office approval.
- The Chair's signature is required to commit the space and resource allocation needed for the conduct of the science and to indicate support for the PI's appointment. The PI and Authorized Institutional Signatory's signatures are required per the sponsor. This level of review is sufficient for the low-risk pre-award nature of nearly all of the 5,000+ UCSF contracts & grants submitted to sponsors annually.

\* More than 1 PI and Chair signature required for NIH Multiple PI proposals only.

# Procedure Reminder: Process for New, Resubmission and Competitive Renewal Proposals Effective 2/1/12



# Procedure Revision #1

- The designated Principal Investigator (PI) or Project Director (PD) is the only required approval signature for the following pre-award activities:
  1. Non-competing continuations
  2. Sponsor correspondence requests including carry-forward, 1st no-cost extensions, and re-budgeting or change of project period modifications to an award requests
    - For NIH Multiple PI proposals, only the administrative PI signature is required.
    - Chair's signature is no longer required.

# Rationale for Procedure Revision #1

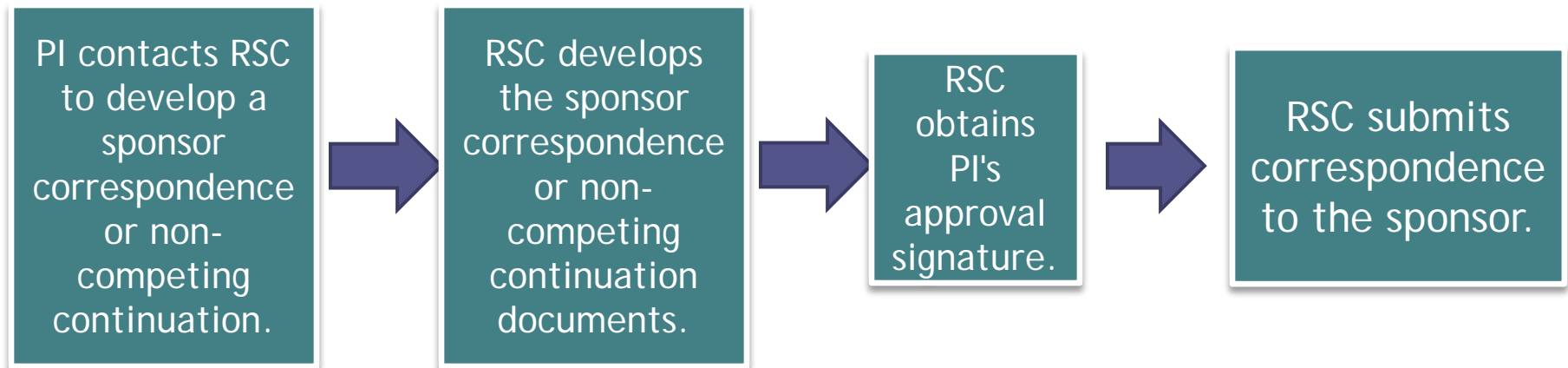
An annual review and approval of an active project by the Chair (or Chair's delegate) is duplicative because the initial application was approved for the entire duration of the project, which includes a commitment of space, resources, and an academic appointment to fulfill the deliverables of the project.

Additionally, in speaking with departments and schools, it has rarely been the case that a department or school has denied a continuation application, a 1st no-cost extension, carry-forward request, or change in the project period or budget of an award.

Furthermore, this new policy...

- ✓ expedites the turnaround time for these actions
- ✓ eliminates the administrative burden of a review process that is not value-added or has little or no risk to mitigate
- ✓ requires that departments and Chairs proactively oversee their commitments to faculty and plan in advance when support will be withdrawn

# New Process for Procedures Revision #1: Sponsor Correspondence or non- competing continuations effective 2/1/12



## Procedure Revision #2

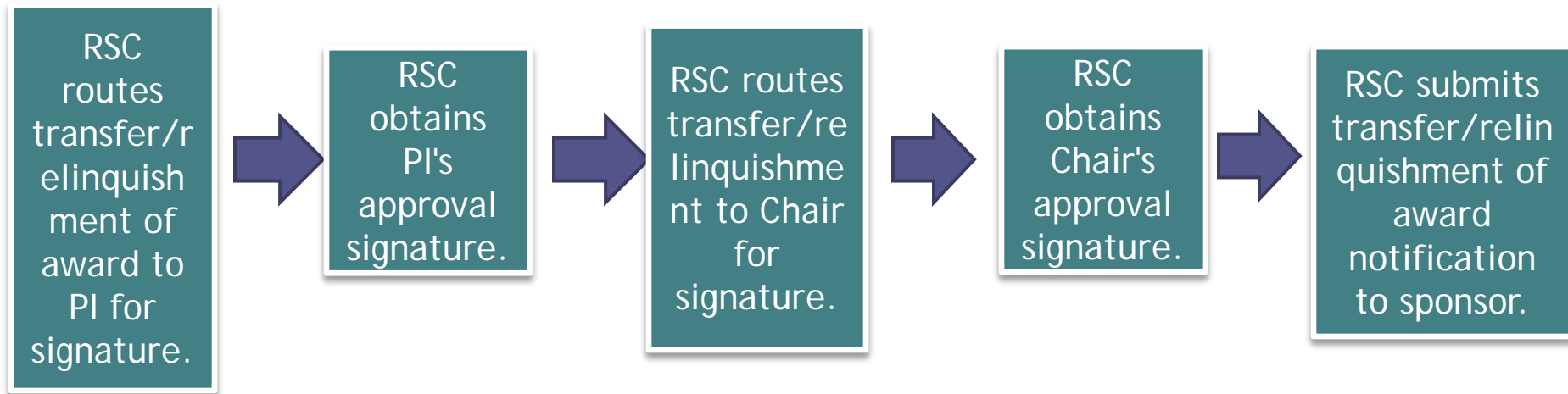
- For transfer/relinquishment of awards, the PI, Chair (or Chair's delegate) and Authorized Institutional Signatory are the only signatures required for approval review.
  - Dean's signature is no longer required.

## Rationale for Procedure Revision #2

Limiting the approval signatures to the PI, Chair (or Chair's delegate) and Authorized Institutional Signatory streamlines the approvals process and emphasizes that only reviewers with direct knowledge are required to approve.

The PI signs off on the award transfer/relinquishment request for UCSF to relinquish the award before it can transfer to another institution . The Chair signs if s/he concurs with the request. Otherwise, the chair has the ability to deny the request so that the award may be transferred to another PI in the department. The dean signs to concur with the request. The Dean has the authority to deny the request and have the award transferred to another PI in the school but this has very rarely happened since they have little knowledge about the investigators. In addition, the financial and programmatic risks reside primarily in the departments.

# New Process for Procedure Revision #2: Transfer/Relinquishment of Award effective 2/1/12



## Procedure Revision #3

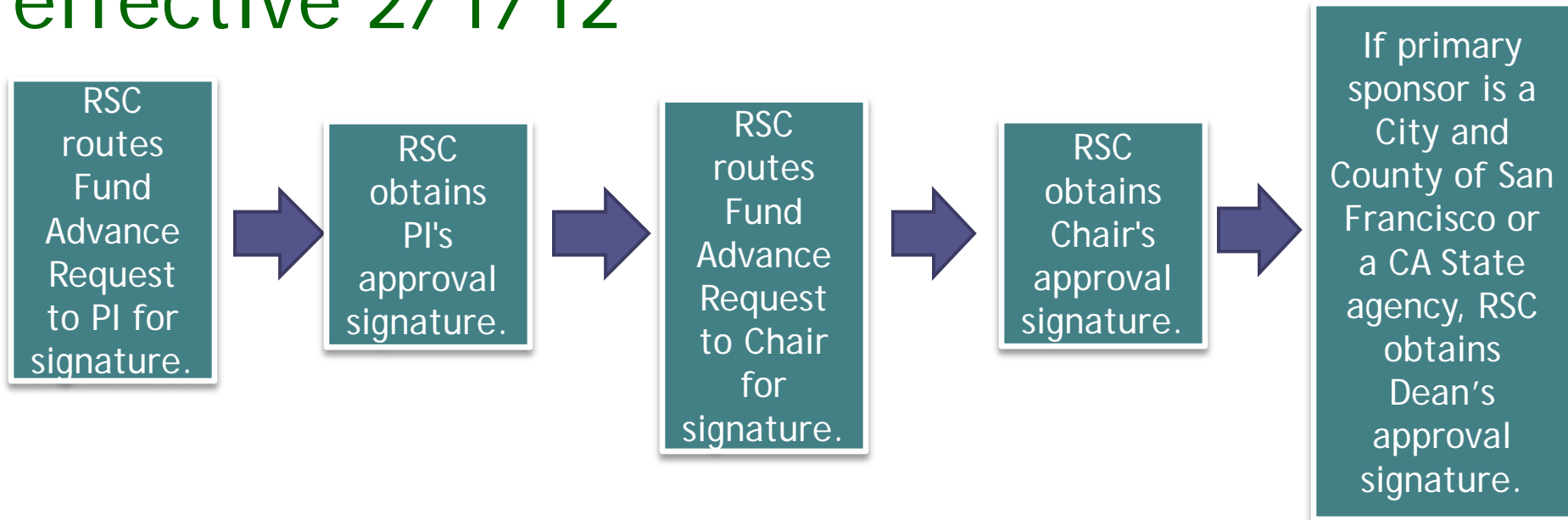
- For approval of fund advance requests, the PI, Chair (or Chair's delegate) and Authorized Institutional Signatory are the only signatures required; Dean's signature review and approval process is only required for fund advances when the primary sponsor is a City and County of San Francisco or State of California agency.
  - Relinquishment of Dean's signature for fund advances above a specific dollar amount.

# Rationale for Procedure Revision #3

Limiting the required approval signatures to the PI, Chair (or Chair's delegate) and Authorized Institutional Signatory streamlines the approvals process and emphasizes that only reviewers with direct knowledge are required to approve.

Today, the PI signs to propose a fund advance request when there is a delayed award. Their chair signs to commit to the faculty appointment and to confirm that the discretionary funding source is viable in case it must be used to backstop the incurred expenses. The Dean signs to concur with the request. Unless the primary sponsor is a City and County of San Francisco or a CA State agency, the Deans delegate authority to the chairs.

# New Process for Procedure Revision #3: Fund Advance Requests effective 2/1/12



# Policy Revision #1

- For **PI Status Waiver forms**, Chair (or Chair's delegate) is the only signatures required for approval.
  - **Dean's approval of the PI Status Waiver is no longer required.**

# Rationale for Policy Revision #1

Limiting approval of PI Status Waiver forms to the Chair (or Chair's delegate) streamlines the approvals process and emphasizes that only reviewers with direct knowledge are required to approve.

In the current approval process, the PI signs to propose the request to waive academic personnel policy 400-11, Eligibility to Submit Proposals for Extramural Funds\*. Their chair signs to commit to the PI's resources and appointment. The Dean signs to waive policy 400-11 concerning PI status. The Deans do not currently deny PI waiver requests because they have little knowledge about the candidates. Additionally, the financial and programmatic risks reside in the departments.

\*Note: Academic Personnel Policy 400-11 will be officially amended to allow a Department Chair instead of a Dean to waive the policy.

# New Process for Policy Revision #1: PI Status Waiver Forms effective 2/1/12



- These revisions were approved by the Deans, and are effective February 1, 2012.