

UConn HEALTH

POLICY NUMBER 2002-30

August 11, 2006

**POLICY: APPROVAL OF PROPOSALS
(RESEARCH SPONSORED PROGRAMS)**

PURPOSE

To ensure that proposals for external support of research and other sponsored projects comply with University financial and other policies.

POLICY STATEMENT:

1. All proposals seeking external support for research and other sponsored projects must be submitted to the Office of Research and Sponsored Programs (ORSP) with a completed Routing Form, signed/certified by the Principal Investigator/Project Director or other individuals responsible for proposal preparation and project administration. In addition, the proposals must be approved by the responsible department chairperson and the appropriate dean. In the event that John Dempsey Hospital (“JDH”) is involved, the Hospital Director must provide his/her approval. When a project involves members of more than one department, the approval of all responsible chairpersons and deans is required.
2. The department head/center director is responsible for attesting to the academic purposes of the proposed project, its departmental compatibility, and its appropriateness in terms of budget, space, equipment and any conflict of interest in accordance with UConn Health policies.
3. The dean is responsible for attesting to (a) the appropriateness and availability of personnel, including salary levels, (b) the adequacy of space and other facilities needed for the project, and (c) the budget and Facilities and Administrative (F&A) cost recovery. The Dean or the Dean’s designee may approve less than full recovery of F&A costs in accordance with Policy #2002-10, [Facilities and Administrative \(F&A\) Costs](#).
4. The Office of Research and Sponsored Programs is responsible for ensuring that proposals comply with University and sponsor policies, that proposals are complete and that all signatures/certifications and approvals, including those of appropriate regulatory offices, have been obtained.
5. Proposals and contracts must be signed in accordance with authorities granted by the Board of Trustees of the University of Connecticut’s current policy on signature authority. Proposals and contracts for Sponsored Programs as defined in policy [#2002-36 Types of Sponsored Programs](#), are to be signed by the Office of Research

and Sponsored Programs. Contract and agreements for Other Sponsored Programs as defined in Policy #2002-36 are to be signed by the Office of Research Finance.

Official signatures for proposals and contract are completed in the following order of priority: the Director (and Associate) of the Office of Research and Sponsored Programs, the Associate Vice-President of Research Administration, the Associate Vice-President of Research Finance, the Dean of the school or the Dean's designee, the Executive Vice-President of Health Affairs, and Sponsored Project Officer.

6. It is the Principal Investigator's responsibility to identify all the requirements and contingencies necessary to fulfill the expectations of the sponsoring agency as it relates to the proposal being routed. It is the responsibility of the department head/center director to verify all requirements and contingencies are addressed in the proposal.
7. All policy issues, identified by the Principal Investigator or Dean, are to be referred to the Associate Vice-President for Research Administration and the Dean of the School or the Dean's designee for review and approval prior to submission to the sponsor.
8. The Office signing the proposal or contract will consult with the Office of the Assistant Attorney General regarding agreements which raise legal issues.
9. The Office signing the proposal or contract will consult with the Center for Science and Technology Commercialization regarding agreements that raise intellectual property issues.

Daniel Upton	10/17/06
_____	_____
Chief Financial Officer	Date
Bruce M. Koeppen, M.D.	10/12/06
_____	_____
Dean for Academic Affairs	Date
Peter J. Deckers, M.D.	10/12/06
_____	_____
Executive Vice President for Health Affairs	Date

Replaces: Policy dated 2/25/02
Revised: August 11, 2006