

# UConn

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| <b>Title</b>                        | Negotiation and Acceptance of Sponsored Program Awards   |
| <b>Policy Owner</b>                 | Office of the Vice President for Research, Sponsored Program Services  |
| <b>Applies to</b>                   | All faculty, staff, and students   |
| <b>Campus Applicability</b>         | All campuses   |
| <b>Effective Date</b>               | 12/30/2022   |
| <b>For More Information Contact</b> | Office of the Vice President for Research, Sponsored Program Services  |
| <b>Contact Information</b>          | 860-486-3622 (Storrs and Regional Campuses)<br>860-679-4040 (UConn Health)   |
| <b>Official Website</b>             | <a href="https://ovpr.uconn.edu">https://ovpr.uconn.edu</a> (Storrs and Regional Campuses)<br><a href="https://ovpr.uchc.edu">https://ovpr.uchc.edu</a> (UConn Health) |

## PURPOSE

This policy documents the authority for the review, negotiation, and acceptance of all grants and contracts for sponsored programs to ensure compliance with University policies, mission, sponsor requirements, and state and federal regulations.

## APPLIES TO

All faculty, staff, and students involved in the administration of sponsored programs at the University of Connecticut and all regional campuses, and UConn Health (“University”).

## DEFINITIONS

**Award:** Formal document from a sponsor/funding agency obligating funds to the University for a specific project.

**Contract:** A written agreement that represents a legal obligation for both the sponsor and the University. Each contract contains a scope of work and/or deliverables to be performed in exchange for consideration, typically in the form of compensation.

**Grant:** Type of financial assistance awarded to an organization for the conduct of research, scholarship, or other programs, as specified in an approved proposal.

## POLICY STATEMENT

The review, negotiation, and acceptance of the terms and conditions of all sponsored program grant awards and contracts are the responsibility of Sponsored Program Services (SPS) in collaboration with the Principal Investigator(s) of the project.

## **ROLES AND RESPONSIBILITY**

### **Principal Investigator (PI)/Department Administrator:**

1. Responsible for the scientific/academic content and budget of the project, and must ensure that the agreement reflects PI's understanding of what is proposed to be accomplished over a specified time, and that there are sufficient funds to cover the project through the period.
2. Ensure that the schedule for and the nature of any technical or progress reports or other deliverables are acceptable to the sponsor.
3. Advise SPS of any issues that the PI has with any terms of the award or contract.
4. Ensure that work does not begin on the project until the award is accepted or contract is fully executed, or unless special approval has been received to set up a pre-award account for the project.
5. May not accept or execute sponsored program awards and/or contracts on behalf of the University.

### **Sponsored Program Services:**

1. In collaboration with the Principal Investigator(s), ensure that the terms and conditions of the award and/or contract are in compliance with University policies and mission.
2. Consult with, refer to, or seek guidance from appropriate internal and external entities and individuals prior to accepting an award or executing a contract.
3. Work with relevant University units to ensure compliance with relevant policies and regulations, including but not limited to human subjects, human subjects' data, vertebrate animals, export controls, and financial conflicts of interest.
4. Authorized Official(s) to accept sponsored project awards and execute sponsored project related contracts on behalf of the University.

### **Research Compliance:**

1. Provide advice and guidance, as needed, on areas such as human subjects, human subjects' data, vertebrate animals, export controls, and financial conflicts of interest.

### **Technology Commercialization Services:**

1. Provide advice and guidance, as needed, on areas such as complex intellectual property terms and royalty and licensing arrangements.

## **ENFORCEMENT**

Violations of this policy may result in appropriate disciplinary measures in accordance with University Laws and By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

## **PROCEDURES/FORMS**

Storrs and Regional Campuses:

[Guidance – Sponsored Program Services: Awards](#)

[Guidance – Sponsored Research Agreements](#)

UConn Health:

[Guidance – Sponsored Program Services: Awards](#)

[Guidance – Sponsored Research Agreements](#)

[Guidance – When to Use the IPAS form](#)

## **POLICY HISTORY**

This is a new policy at Storrs/regional campuses to better document established practices and procedures. The policy combines two previous policies at UConn Health and establishes one shared policy for Storrs/regional campuses, and UConn Health:

UConn Health Policy 2002-33, "Acceptance of Awards," created on 04/10/02

UConn Health Policy 2002-32, "Negotiation of Awards," created on 04/10/02