



University of Connecticut Health Center

POLICY NUMBER 2002-30

February 25, 2002

**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 UCHC 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 Associate Dean of Research Planning and Coordination may approve less than full recovery of F&A costs in accordance with Policy #2002-14, 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. The Office of Research and Sponsored Programs is authorized to sign proposals by the Trustees of the University of Connecticut.

Official signatures for proposals, in this regard, are the Director (and Associate) of the Office of Research and Sponsored Programs, the Associate Vice-President of Research, the Associate Dean of Research Planning and Coordination and the Executive Vice-President of Health Affairs.

5. 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.
6. All policy issues, identified by the Principal Investigator or Dean, are to be referred to the Associate Vice-President for Research Administration and the Associate Dean for Research for review and approval prior to submission to the sponsor.
7. ORSP will consult with the Office of the Assistant Attorney General regarding proposals which raise legal issues.
8. ORSP will consult with the Center for Science and Technology Commercialization regarding proposals which raise intellectual property issues.

Dan Upton (signed)
Chief Financial Officer

4/10/02
Date

Richard Berlin, MD (signed)
Associate Dean for Research/Planning & Coordination

4/8/02
Date

Peter Deckers, MD (signed)
Executive Vice President for Health Affairs

4/10/02
Date

Replaces: NEW POLICY