



# UC San Diego

## Policy & Procedure Manual

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### CONTRACTS AND GRANTS (RESEARCH)

**Section: 150-36**

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### RESPONSIBILITIES OF PRINCIPAL INVESTIGATORS FOR THE ADMINISTRATION OF AWARDS

#### I. REFERENCES

- A. [Systemwide Administration Contract and Grant Manual](#)
- B. UCSD Policy and Procedure Manual (PPM)
  - [150-2](#) Solicitation and Acceptance of Contracts and Grants
  - [150-10](#) Who May Submit Proposals for Extramural Support
- C. [UCSD Cost Accounting Standards Board Disclosure Statement \(CASB DS-2\), June 30, 1996](#)
- D. [OMB Circular A-21, Cost Principles for Educational Institutions \(Revised\), May 8, 1996](#)

#### II. POLICY

The University's policies and procedures concerning the negotiation, acceptance, management, and administration of contracts and grants are contained in reference A. Performance and obligations are enumerated in PART V, Sections 28 and 30. Those portions of Sections 28 and 30 which are applicable to Principal Investigators/Project Directors are summarized below for guidance and compliance:

- A. Principal Investigators and/or Project Directors are obligated to observe established terms and conditions meticulously. Such obligations include, but are not limited to: (a) expenditures which are not clearly permitted by the terms of a contract or grant, shall not be authorized by a principal investigator or project director without consultation with cognizant fiscal and administrative officials and clearance with the funding agency if doubt still exists, (b) the filing of reports by the dates agreed upon, (c) observance of requirements to protect patent rights, and (d) the allowance of adequate lead time on applications for project renewal or extension.
- B. Once a contract or prime contract and a subcontract have been executed, the principal investigator, interacting with the Accounting Office, Business Office, Materiel Management, and or Office of Contract and Grant Administration, and with the other party to the particular agreement.
- C. Proper termination of a contract is, of course, of great importance. The Chancellor or his designee should be assured that the property aspects of the transaction are clear, and there should be a clear assurance from the principal investigator and/or his department head that the University has satisfied its contractual obligation for performance.

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- D. Principal Investigators and Project Directors do not have authority to make (execute) changes or modifications in the terms of contracts or grants unless they have been specifically (and by name) delegated this authority by a University Officer having it himself. They should not attempt to negotiate such changes without the prior knowledge and approval of the Manager of Contract and Grant Administration, lest the University risk being accused of bad faith.

**III. RESPONSIBILITY**

The person(s) named in an award of a contract or grant accepted by the University as the principal investigator, manager or director has primary responsibility for adherence to the terms and conditions of the award and for ensuring that expenditures made are appropriate, allowable, and within budgetary limitation of the contract or grant.