



SPONSORED PROJECTS OFFICE
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August 16, 2012

RESEARCH ADMINISTRATORS LEVEL 3-5 (Non-probationary) —SPONSORED PROJECTS OFFICE

Delegation of Authority 2569—To Solicit and Accept or Execute Certain Extramural Grants and Contracts

As Director of the Sponsored Projects Office, I re-delegate to Research Administrators Levels 3-5 (Non-probationary Status) the authority to solicit and accept or execute certain extramural grants and contracts in an amount not to exceed \$10,000,000 in direct costs in any one project year, subject to:

1. The limitations articulated in the attached letter re: Delegation of Authority 2569 dated June 29, 2012 to the Vice Chancellor for Research, and
2. Additional clarifications and exclusions as described in Attachment A

This re-delegation is effective immediately and may not be re-delegated.

Sincerely,

Pamela F. Miller, Ph.D.
Director

Attachment A

SPO Research Administrators Level 3-5

August 16, 2012

Signature Delegation Clarification/Limitations

SPO Research Administrators Level 3-5 have been re-delegated the authority to solicit and accept or execute certain grants and contracts as articulated in Designation of Authority 2569. Please see the limitations articulated in the attached.

This authority applies to:

- All RAs 3-5 with a continuing appointment, except those with probationary status.

This authority covers the following:

- All proposals under \$10M in direct costs in any one year (subject to limitations under Designation of Authority 2569) except those proposals which require acceptance of award terms and conditions at proposal submission.
- Prior Approval Requests (e.g. change in scope of work or PI, carry forward, addition of new subawardee.)
- Approval/Submission of Budget Revisions
- No Cost Extension Requests
- No Cost Extension Awards
- Amendments to agreements and outgoing subagreements which only involve administrative changes, extension of the end date and/or addition of allotted funds within the total estimated cost.
- Progress Reports
- Outgoing Subrecipient Commitment Forms
- Representations and Certifications
- IRS 1099 Forms
- A-133 Certification Forms
- Fiscal Agent/EFA Signature (e.g. Damon Runyon)

This authority excludes:

- Acceptance/execution of new/competitive renewal awards or contracts.
- Acceptance/execution of new subagreements
- Approval of any action or transaction involving a policy violation
- Approval of F&A waivers

Transactions not explicitly approved or excluded above require pre-consultation with a SPO manager prior to processing. Research Administrators are expected to discuss any transaction that poses any unresolved risks to the University with a SPO Manager prior to executing transactions under this authority.



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August 8 2012

RESEARCH ADMINISTRATORS LEVEL 3-5 (Non-probationary Non-Contract Status)—SPONSORED PROJECTS OFFICE

Delegation of Authority 2569 To Solicit and Accept or Execute Certain Extramural Grants and Contracts

In accordance with the attached re-delegations of authority, including the August 1, 2012 re-delegation to the Director Sponsored Projects Office, I re-delegate to Research Administrators Levels 3-5 5 (Non-probationary Non-Contract Status) the authority to solicit and accept or execute certain extramural grants and contracts in an amount not to exceed \$10,000,000 in direct costs in any one project year, subject to:

1. The limitations articulated in the attached letter re: Delegation of Authority 2569 dated June 29, 2012 to the Vice Chancellor for Research, and
2. Additional clarifications and exclusions as described in Attachment A

This re-delegation is effective immediately and may not be re-delegated.

Sincerely,

[Redacted signature]

Pamela F. Miller, Ph.D.
Director

I concur with this re-delegation.

[Redacted signature]

Patricia Schwabinger
Assistant Vice Chancellor
Research Administration and Compliance

Attachment A

SPO Research Administrators Level 3-5

August 8, 2012

Signature Delegation Limitations

SPO Research Administrators Level 3-5 (non-probationary and non-contract status) have been re-delegated the authority to solicit and accept or execute certain grants and contracts as articulated in Designation of Authority 2569. Please see the limitations articulated in the attached.

This authority covers the following:

- All proposals under \$10M in direct costs in any one year (subject to limitations under Designation of Authority 2569) except those proposals which require acceptance of award terms and conditions at proposal submission.
- Prior Approval Requests (e.g. change in scope of work or PI, carry forward, addition of new subawardee.)
- Approval/Submission of Budget Revisions
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This authority excludes:

- Acceptance/execution of new/competitive renewal awards or contracts.
- Acceptance/execution of new subagreements
- Approval of any action or transaction involving a policy violation
- Approval of F&A waivers

Transactions not explicitly approved or excluded above require pre-consultation with a SPO manager prior to processing. Research Administrators are expected to discuss any transaction that poses any unresolved risks to the University with a SPO Manager prior to executing transactions under this authority.



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April 19, 2012

CHANCELLORS
DIRECTOR, LAWRENCE BERKELEY NATIONAL LABORATORY
VICE PRESIDENT—AGRICULTURE AND NATURAL RESOURCES

Delegation of Authority--To Solicit and Accept or Execute Certain Extramural Grants and Contracts

Standing Order of The Regents 100.4(dd), Duties of the President of the University, provides the President authority to accept or execute certain extramural contracts or grants as follows:

Except as otherwise specifically provided in the Bylaws and Standing Orders, the President is authorized to execute on behalf of the Corporation all contracts and other documents necessary in the exercise of the President's duties, including documents to solicit and accept pledges, gifts, and grants, except that specific authorization by resolution of the Board shall be required for [certain] documents.

On March 10, 1995, the President delegated authority to you to accept or execute certain extramural contracts or grants up to a limit of \$5,000,000 in direct costs in any one project year. The purpose of this delegation is to increase this dollar limit.

Therefore, subject to the limitations below, I delegate to you the authority to solicit, accept, or execute contracts and grants for research, scholarly or professional training, or for public service programs relating either to research or to scholarly or professional training, including the signing of related documents as necessary.

You may not execute contracts or grants that exceed the following direct costs:

- a. \$10,000,000 in direct costs in any one project year for contracts and grants where the campus is a prime awardee and the sponsor is a federal or a State of California agency; or
- b. \$10,000,000 in direct costs in any one project year for subawards from higher education institutions or a State of California agency for which the source of funds is an award from a federal or State of California agency; or

- c. \$5,000,000 in direct costs in any one project year for contracts and grants except as specified above.

Contracts or grants that exceed the parameters specified above must be submitted for approval to the Office of the President, Research Policy Analysis & Coordination unit for consideration. Moreover, this delegation does not include the authority to solicit, accept, or execute documents that:

- a. contain provisions falling within any of the restrictions and limitations set forth in Standing Order 100.4(dd). In particular, with regard to this delegation, note that Standing Order 100.4(dd) requires specific authorization by The Regents for:
 - 1. Exceptions to approved University programs and policies or obligations on the part of the University to expenditures or costs for which there is no established fund source or which require the construction of facilities not previously approved.

- 9. Agreements by which the University assumes liability for conduct of persons other than University officers, agents, employees, students, invitees, and guests. In circumstances where it is deemed necessary by the President, in consultation with the General Counsel, to indemnify non-University persons who have agreed at the University's request to serve as advisors on operational matters for conduct within the scope of their role as advisors, the President is authorized to provide for defense and indemnification. This restriction does not apply to agreements under which the University assumes responsibility for the condition of property in its custody.
- b. include an unapproved arrangement for indirect costs which changes the rates or the bases thereof as promulgated by the President;
 - c. require approval by the President or designee; or
 - d. provide support for the sole purpose of constructing research facilities. For projects which include both a research and construction component, the contracts, grants and other documents must also be approved by University officials retaining the delegation of authority for construction projects, and must be in full compliance with the requirements separately required in that delegation.

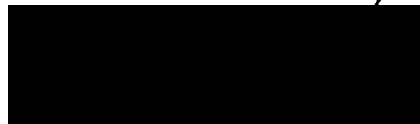
Chancellors, et al.
April 19, 2012
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For purposes of this delegation, the term "grant" includes grants from private sources, but excludes gifts as defined in the Guidelines for Review of Gifts/Grants for Research issued by the President on July 8, 1980.

Campus procedures for preparation of proposals for extramural support and acceptance of grants or execution of contracts shall be in accordance with the University of California Contract and Grant Manual and with supplementary instructions as may be issued by the Office of the President.

Critical factors in processing contracts and grants are a review for legal sufficiency and compliance with University policies, and coordination with other campus offices and functions as appropriate, including legal counsel, risk management, and intellectual property managers. Responsibility for accomplishing this review and coordination must be assigned specifically as a part of any redelegation by you.

This delegation is effective immediately and supersedes the March 10, 1995 delegations of authority to the Chancellors (DA 2036), to the Vice President of Agriculture and Natural Resources (DA 2035), and to the Lawrence Berkeley Laboratory Director (DA 2038) to solicit, accept, or execute certain extramural grants and contracts. This authority may be redelegated.



Mark G. Yudof
President

cc: Members, President's Cabinet
Executive Director Streit
Universitywide Policy Director Capell