SANTA FE INSTITUTE
GM01.1 Procedure for Approval and Submission of Contract and Grant Proposals

Purpose

To establish a procedure for the review, approval, and submission of proposals for extramurally funded research and education projects.

1. Statement

The SFI President is authorized to solicit and accept pledges, gifts, and grants and to execute on behalf of SFI all contracts and other documents necessary in the exercise of his or her duties. The President's authority concerning solicitation, acceptance, and execution of certain extramurally supported contracts and grants has been re-delegated to the Director, Sponsored Research Planning and Administration. Certain proposals and other contractual documents must be executed by the President or the Board of Trustees.

Within this context, the Director, Sponsored Research Planning and Administration is responsible for the negotiation, execution, and administration of contracts and grants for extramurally funded projects at SFI, and for submitting proposals to federal and non-federal sponsors (including industrial and commercial concerns, universities, governments, and other institutions) for the support of research and education projects. All proposals (new, revised, continuation, renewal, and supplemental) are to be processed in accordance with this procedure. Principal Investigators are not to submit proposals on their own behalf, or make commitments to sponsors that would disregard these procedures.

2. Procedures

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<th>RESPONSIBILITY</th>
<th>ACTION</th>
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<td>Principal Investigator</td>
<td>Develops and prepares a proposal in accordance with prescribed agency and SFI policies within sufficient time to ensure that all review deadlines will be met.</td>
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<td>* SUBCONTRACTS—obtains an official proposal from the institution or agency expected to conduct a portion of the research or technical effort of the project and includes it with the proposal package.</td>
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<td>President/Chair of the Faculty</td>
<td>Reviews proposal and accompanying documentation, with particular attention devoted to the following areas:</td>
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<td>* appropriateness of time commitments outlined for both faculty and staff.</td>
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<td>* appropriateness and accuracy of titles and salary levels specified.</td>
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<td>* eligibility of individuals to be Principal Investigators or Co-Principal Investigators.</td>
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Eff. 7-31-07; rev. 1-25-10
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* cost-sharing and/or matching funds requirements which are indicated in the proposal. Fund sources for meeting matching requirements must be specifically identified; in the absence of such documentation, it may be assumed that the signature of the President constitutes an assurance that funds are available to meet the matching requirements.

* availability of space to carry out the proposal. The signature of the President indicates approval of space arrangements specified on the Proposal Approval and Submission (PAS) Form and verifies that suitable space is available.

If proposal is approved, signs PAS Form where indicated and proposal as required.

Director, Sponsored Research Planning and Administration

Prepares PAS, facilitates assembly of proposal, and all other accompanying documentation and material for compliance with SFI and agency requirements. Included in the review is the determination that:

* Principal Investigator is eligible in accordance with SFI policy.
* All required approval signatures have been obtained, and other administrative requirements have been met.
* Correct overhead and fringe benefits rates have been properly applied.
* Agency proposal instructions have been followed.
* Applicable terms and conditions are acceptable to the SFI (or will be negotiated prior to acceptance of any resultant award).
* Proposal budget is reasonably accurate.

Determines whether proposal requires administrative corrections. Coordinates any necessary changes with Principal Investigator. Prepares a letter of transmittal, if required; signs letter and proposal, as appropriate, and submits proposal to the agency.

Sponsored Research Assistant

Reviews proposal and accompanying documentation, with particular attention devoted to financial terms and obligations.

Prepares original budgeted figures to be included with proposal, if not already prepared by the PI or other researcher. If prepared by PI/Researcher, indirect cost figures and total direct costs are recalculated and approved.
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Inputs budgeted figures on NSF FastLane or other electronic submission system as appropriate once all parties agree and approve the budget.

3. Attachment

Proposal Approval and Submission Form

4. Related Policies and Procedures

SFI Delegation of Authority to Solicit, Accept, or Execute Certain Extramural Grants and Contracts, from Vice President Charles C. Wood dated March 7, 2008, on file in the Finance Office

SFI Policies and Procedures for Contract and Grant Administration (GM01.1 – GM07.1)

SFI Principal Investigator Eligibility (GM02)