

Administrative Approval Form Instructions

GENERAL INFORMATION

The AA Form is provided as a fillable Word document that can be saved to your desktop. This enables users to create multiple AA Form templates for a variety of Principal Investigators or projects.

Navigation

By default, using the TAB button to advance the cursor will advance the cursor to the next text field, drop-down list or radio button on the current row. At the end of each row, the cursor will advance to the beginning of the next row. Users may also use their mouse to select any text field.

Sponsored Projects will accept this completed form via fax or email. Original signatures are not needed, *with the exception of the Statement of Economic Interest (SEI) Form 700-U*. See section 10.1.

Please ensure that all sections have been completed

1. PRINCIPAL INVESTIGATOR (PI)

The PI is the UCI employee responsible for the scientific, technical, and administrative conduct of the proposed project. This person must be eligible to serve as PI in accordance with UCI policy or an exception to policy must be requested.

The PI's UCI e-mail address and phone number are used by the Office of Research Administration (ORA) in conjunction with the PI's name to positively identify the PI in UCI's data systems. *Please do not provide any other e-mail address or phone number used by the PI other than his/her official UCI e-mail address ending with "@uci.edu" or an official UCI phone number assigned to the PI.*

2. ADMINISTERING DEPARTMENT

Please provide the official name of the department that will be responsible for administering this proposal and any resulting award. Please provide name of the unit if applicable.

3. ADMINISTRATIVE CONTACT

The person who will act as the Administering Department's primary administrative contact for the proposal. *Please do not provide any other e-mail address or phone number used by the contact person other than his/her official UCI e-mail address ending with "@uci.edu" or an official UCI phone number assigned to the contact.*

4. SPONSOR AND SUBMISSION INFORMATION

- **Sponsor Name, Street Address, City, State and ZIP** – Commonly used and easily recognized abbreviations may be used to identify the sponsor; however, please avoid using acronyms whenever possible. Also, please provide the complete mailing address (including P.O. Box, if applicable) used by the sponsor for receiving proposals. For international sponsors, please indicate the province or region within the foreign country in the "State" field and any applicable mailing code in the "ZIP" field.

- **Contact Person, Phone and E-mail** – The sponsor's contact should be someone with whom ORA can discuss the status of the proposal or to whom questions regarding the sponsor's guidelines or proposal requirements may be addressed. For international sponsors, please be sure to include the country code as part of the phone number.
- **Submission Deadline** – If the sponsor has no deadline, indicate a target date for returning the proposal to the unit. ORA will try to complete its review by the requested date - subject to review priority and other proposal deadlines.

5. PROJECT INFORMATION

- **Project Title** – If the proposed project does not have a title, please provide a brief description of the project such as, "Acquisition of a Scanning Electron Microscope".
- **Begin Date and End Date** – For projects with multiple budget periods, the Begin Date is the start of the first budget period and the End Date is the last day of the last budget period.
- **Type of Request** – Select only one of the following options:
 - **New** – An original funding request made to a sponsor for a proposed project. No prior proposal has been submitted to the sponsor for the proposed project, and the sponsor has not previously made an award to support the proposed project.
 - **Renewal / Competitive Continuation** – A request for additional funding that is intended to extend, or results in the extension of, a project beyond the originally approved project period. Please list the current award number.
 - **Supplement** – A request for additional funding during the originally approved project period.
 - **Resubmission** – A proposal submitted to make a significant change (e.g., scope of work, budget, facilities, subawards, etc.) to a previously submitted proposal not yet funded by the sponsor and where the sponsor requires submission of a revised full proposal. If known, please list previous SPA proposal number.
- **Type of Project** – Select only one of the following options:
 - **Basic Research** – Research directed toward increasing knowledge of the subject being studied, including analytical and experimental activities that primarily seek to increase the understanding of fundamental phenomena.
 - **Applied Research** – Applied research normally follows basic research and attempts to determine and expand the potentialities of new discoveries and/or improvements in technology, materials, processes methods, devices and techniques.
 - **Developmental Research** – The systematic use and practical application of findings/theories in studies involving useful products, where such studies are designed to experimentally/operationally test and/or evaluate the feasibility and practical application of proposed solutions.

- **Clinical Trial** – The controlled, clinical testing of investigational and/or approved drugs, devices, treatments or diagnostics in human subjects where such testing is performed under a sponsor or investigator-developed protocol covered by an IND or IDE from the FDA.
 - **Other Research** – Use only if the proposed research project cannot be classified as basic, applied, developmental or clinical trial research.
 - **Training** – Training means scholarly, professional, or occupational instruction primarily for graduate students or University employees (including post docs) and includes training awards made to UCI that provide for selection of student recipients by academic units.
 - **Fellowship** – An award consisting of a stipend or subsistence allowance made to UCI to support the research training experience of a specified individual. Fellows are not faculty or staff employees of UCI, but may have a graduate student or post doc appointments.
 - **Public Service** – Public service projects are those where the sponsor wants UCI to provide scholarly or professional training or services to individuals or sponsor designated recipient groups, where such groups are external to the University.
 - **Other Service** – includes services which the University provides or makes available which do not fit within the categories of training, fellowship or public service, such as the use of University facilities as provided by Regulation 4.
 - **Equipment** – Proposals or awards restricted by the sponsor for the sole purpose of acquiring equipment, including grants of equipment or full or partial funding to enable the purchase of equipment and where the title to such equipment vests with UCI.
 - **Other** – Use this category if a project cannot be classified as one of the above categories.
- **Type of Award** – Select only one of the following options:
 - **Grant** – An award of financial assistance for the conduct of research or other programs where the sponsor does not have substantial programmatic involvement and does not exercise direct control over the conduct of the project.
 - **Contract** – A legal document between a sponsor and UCI to procure research services or other services from UCI. Activities performed under contract are more closely controlled by the sponsor than those performed under a grant.
 - **Cooperative Agreement** – An award of financial assistance in which the sponsor's staff may be actively involved in defining the scope of work or program, and/or anticipates having substantial involvement in the performance of the project.
 - **Subcontract (from a Non-UC Entity)** – An agreement that transfers a substantive portion of a project under a prime award from the prime recipient to UCI where the prime recipient is not a UC-entity (i.e., legally not a part of the UC system). Subawards from the Department of Energy laboratories managed by UC are included in this category.

- **UC Campus Subaward** – An agreement that transfers a substantive portion of a project under a prime award from another UC campus, the UC Office of the President or other UC-entity to UCI.
- **If proposal is for a Subaward or UC Campus Subaward, list the Prime Sponsor** – The prime sponsor is the entity that will issue an award under which UCI will receive its subaward. For example, the National Science Foundation is a prime sponsor if it makes an award to the California Institute of Technology (Cal Tech) and Cal Tech issues a subaward to UCI under their NSF prime award.

6. BUDGET INFORMATION

- **Total Direct Costs Requested** – The total allowable direct costs requested from the sponsor.
- **Total F&A Costs Requested** – The total facilities and administrative (F&A) costs requested from the sponsor.
- **Total Costs Requested** – The sum of Total Direct Costs and Total F&A Costs Requested.
- **F&A Cost Rate(s)** – If more than one rate was used to calculate the Total F&A Costs Requested, please list all rates. Please refer to the [F&A Cost Rates](#) section of the ORA website for additional information.
- **F&A Cost Base** – is the base dollar amount to which a F&A cost rate is applied. UCI's [F&A Cost Rates](#) Agreement requires the use of Modified Total Direct Costs as the basis for calculating F&A costs. No other base should be used (other than the base used for Clinical Trial Agreements, as noted in [F&A Cost Rates](#) section of the ORA website) unless the sponsor has a published requirement to use an alternate base. If the base required by a sponsor is not available in the drop-down list, please select "Other" from the list and indicate the base used to calculate the F&A costs in the "**if Other, please describe**" field.

6.1 – Does the budget include subawards to other entities to perform a part of the project? – Please list the name of each proposed subrecipient and the total costs (total costs of all budget periods) requested by each subrecipient. Please be sure to provide evidence that the institutional official for each subrecipient has approved their respective subaward proposal. Generally, such approval takes the form of a letter signed by the subrecipient's institutional official.

6.2 – Is the proposed project a Major Project? – Check this box if the proposed project can be classified as a Major Project, which is defined as a project that requires an extensive amount of administrative or clerical support, which is significantly greater than the routine level of such services provided by academic departments. Major Projects are not necessarily defined by the amount of funding. It may be appropriate to budget salaries associated with administrative and clerical services as a direct cost, provided that the individuals involved in providing such services can be specifically identified to the Major Project.

6.3 – Does the proposed project involve Unlike Circumstances? – Check this box if the proposed project involves Unlike Circumstances, which is defined as circumstances that exist when the scope of the project requires non-salary administrative expenses that are significantly greater than the routine level of support

normally provided to every UCI sponsored project. When such circumstances exist, it may be appropriate to budget such expenses (e.g., postage, office supplies, local telephone, etc.) as a direct cost.

7. COST SHARING

7.1 – Will UCI commit cost sharing as part of this project? – Cost sharing is any portion of the total costs of a project not borne by the sponsor. Cost sharing is committed when project costs are offered and quantified anywhere in the proposal and where such costs are not included in the proposal budget as costs requested from the sponsor. Refer to “[Cost Sharing on Sponsored Projects](#)”, as well as “[Guidelines for Proposing Cost Sharing](#)” on the ORA website for more information.

- **Name of Department and Direct Costs** – List each department and the total direct costs to be cost shared by each department regardless of whether such cost sharing will be in cash or in-kind (e.g., contributed project personnel effort).
- **Notes** – If a proposal includes a cost sharing commitment from a department other than the Administering Department, the other department commitments must be approved, in writing, by the responsible department official (director, chair, dean, or vice chancellor or their official designees). Signatures of the chair, director or dean on the AA form confirms commitment. Additionally, memos or e-mail may be used to approve such commitments, provided that such alternative forms of approval are forwarded with the proposal to the Office of Research Administration or are sent to the [Grants Officer or Contracts Officer](#) assigned to the administering department in advance of their receipt of the proposal for institutional review.
- **Department Total Direct Costs** – The sum of the direct costs to be cost shared by each department.
- **VCR Commitment** – If the Vice Chancellor for Research has approved a cost sharing commitment for the proposed project, input the total amount of this cash commitment. Refer to “[Guidelines for Requesting VCR Cost Sharing](#)” on the ORA website for more information.
- **Applicable F&A Costs** – If a department offers to cost share in-kind, such as contributing the effort of project personnel, the department may (at its option, but in compliance with the [Cost Sharing on Sponsored Projects](#) policy) choose to include the F&A costs associated with the in-kind cost sharing as part of its cost sharing commitment. For example, if a department commits, as costs sharing, project personnel effort totaling \$50,000 (salaries and fringe benefits), then they may also offer the amount of F&A costs that would normally be recovered by UCI if the sponsor had borne the salary and fringe benefit costs. Assuming an F&A rate of 52.5% MTDC, the above example would result in a cost sharing commitment of \$76,250 [$\$50,000 \times (1 + .525) = \$76,250$].
- **Total UCI Cost Sharing** – The sum of the following fields: Department Total Direct Costs, VCR Commitment and Applicable F&A Costs.

7.2 – Will an entity other than UCI provide cost sharing for this project? – If an entity other than UCI will provide cost sharing for the project, such as a subrecipient, list the name of the entity and indicate the amount of the entity’s cost sharing commitment. Be sure to follow the sponsor's guidelines, if any, related to valuing in-kind support.

8. INSTITUTIONAL AND REGULATORY COMPLIANCE INFORMATION

8.1 – Will the project be conducted at UCI and/or UCIMC? – List all UCI/UCIMC locations where the project will be conducted. UCI/UCIMC locations means any location owned, operated, rented or leased by UCI.

8.2 – Will UCI personnel conduct any part of the project at non-UCI/UCIMC sites or facilities? – Non-UCI/UCIMC site or facility means any location NOT owned, operated, rented or leased by UCI.

8.3 – Will the project involve human research? – If the project involves human research, check YES and list the number of each protocol related to this project that has been submitted to the IRB. Human research means any systematic investigation that is designed with the intent to develop or contribute to scholarly knowledge, and which uses living humans or identifiable information about living humans. For additional information, please refer to the [Human Research Protections Program](#) information on the ORA website.

8.4 – Will the project involve the use of live vertebrate animals? – If the project involves the use of live vertebrate animals for research, research training, experimentation, biological testing or related purposes, check YES and proceed to 8.4a. For more information, please refer to the [Animal Care and Use Program](#) information on the ORA website.

8.4a – List all IACUC protocol numbers associated with the project: If the project involves the use of live vertebrate animals, check YES and list the number of each protocol related to this project that has been submitted to the IACUC.

8.4b – If funded, will the proposal significantly increase the caging and/or amount of space required at UCI? If so, estimate the number of animals, cages, and/or space required. – If the project will impose demands on existing resources or increase the number of approved animals under an existing IACUC protocol, please provide details on the line provided.

8.4c - Will the project involve the use of non-rodent species? – If the project involves the use of non-rodent species (e.g., rabbits, swine, nonhuman primates) please provide details on the line provided.

8.5 – Will the project involve the creation or use of human embryonic stem cells (hESC) or hESC-derived cell lines? – If the project involves the creation or use of human embryonic stem cells (hESC) or hESC-derived cell lines, check YES and list the number of each protocol related to this project that has been submitted to the hSCRO. For more information, please refer to the [Human Stem Cell Research](#) information on the ORA website.

8.6 – Will the project involve any of the following? – The use of certain materials and substances may pose a variety of environmental and health risks. Use of such materials and substances must be tracked and carefully managed. For more information about these hazards please refer to the [EH&S website](#). If checked YES on any selection under 8.6, please provide IBC protocols.

8.7 – Will the project involve any of the following – The use of certain materials and substances may pose a variety of environmental and health risks. Use of such materials and substances must be tracked and carefully managed. For more information about these hazards please refer to the [EH&S website](#).

9. EXPORT CONTROLS

9.1 – Is travel outside of the U.S. required in order to complete this project? – If project related travel outside of the United States is anticipated, check YES. Please note that project personnel's attendance at scientific conferences is exempted from this question. For additional information, please refer to the [Export Controls](#) information on the ORA website.

9.2 – Will any equipment, materials or software be exported to other countries? – If equipment, materials or software will be shipped out of the United States in the performance of the project, check YES. For additional information, please refer to the [Export Controls](#) information on the ORA website.

9.3 – Are foreign subrecipients/subcontractors or foreign collaborators involved? – If subawards to foreign entities or individuals, consulting agreements with foreign individuals, or collaborations with foreign entities or individuals are anticipated in the performance of the project, check YES. For additional information, please refer to the [Export Controls](#) information on the ORA website.

10. DISCLOSURE OF FINANCIAL AND/OR MANAGEMENT INTERESTS

- For information about conflict of interest disclosure requirements, please refer to the [Conflict of Interest](#) section of the ORA website.

10.1 – Is the sponsor a non-governmental entity? – Please note that for clinical trial agreements between UCI and a contract research organization (CRO) acting on behalf of a pharmaceutical or medical device company, a 700-U form must be completed for both the CRO and the sponsoring company. The **original, signed** SEI 700U Form is required unless the Sponsor is Exempt. [Exempt Sponsors List](#)

10.2 – Is the sponsor/prime sponsor PHS or NSF or a sponsor/prime sponsor that follows the PHS disclosure requirements? – It is important to note that the American Heart Association, the American Cancer Society and the UC Discovery Program all follow the PHS disclosure requirements.

10.3 – Does the Principal Investigator or other key personnel hold any financial interest(s) that could be related to the proposed project? – Answering this question allows the PI to disclose known related financial and management interests in an abbreviated way to facilitate institutional approval of the proposal. The PI is responsible for filing a full disclosure prior to the acceptance of an award. If a PI has no interests, s/he must complete the [Federal Disclosure Form](#) to disclose that they have no reportable interests. Positive disclosures require review by the Conflict of Interest Oversight Committee (COIOC) and may delay the acceptance of the award. In such cases, early disclosure is advised.

11. SIGNATURES / APPROVALS

*****If using fillable version of AA Form, Faculty can insert digital signatures in designated signing area*****

- **Principal Investigator** – The Principal Investigator's signature is required on this form and ORA cannot sign/endorse the proposal or release it for submission to the sponsor without the PI's signature.

- **Chair, IRU Director or Campus Center Director** – Review and approval by the chair or director of the administering unit is required. ORA cannot sign/endorse the proposal or release it for submission to the sponsor without this signature, unless special arrangements have been made with the Dean, ORU Director or Vice Chancellor, to which the administering unit reports.
- **Dean, ORU Director or Vice Chancellor** – Review and approval by the Dean, ORU Director or Vice Chancellor to which the administering unit reports is required. ORA cannot sign/endorse the proposal or release it for submission to the sponsor without this signature, unless special arrangements have been made with the Dean, ORU Director or Vice Chancellor, to whom the administering unit reports.