STATEMENT OF POLICY

This policy sets forth the requirement for appropriate oversight of sponsored funds, as mandated by the University of Massachusetts Boston’s Internal Control Plan, the Office of Research and Sponsored Programs (ORSP) policy covering all externally sponsored awards managed within ORSP. Compliance with this Policy protects UMASS BOSTON and its employees who perform research and services inherent in sponsored programs from legal liability, and meets the university’s, state, federal, private, and other legislative regulations, and requirements.

SCOPE

Any Principal Investigator (PI), Program Director (PD), faculty or staff member who contemplates signing a research proposal or award on behalf of the University of Massachusetts Boston.

POLICY

ORSP shall ensure all UMB personnel authorized to initiate and/or approve transactions regarding externally sponsored awards are appropriately designated and approved. For the purposes of this policy, transactions include all actions affecting an externally sponsored award, such as expense postings (personnel and non-personnel), journal entries, budget modifications, proposal actions, and others as necessary for the appropriate management of the award.

To ensure consistent coverage by authorized persons, authorized signatories shall not be designated by name, but by position title and its associated role in the department/college. Should the person holding an authorized title/role change, the signatory authorization will automatically cease with the previous title holder and transfer to the new title holder. The existing authorized signatory form will continue to be held as valid, with the substitution, until such time as the department head provides an updated form. It is the responsibility of the department head to provide the updated form in a reasonably timely manner. At a minimum, the department head will review and update the authorized signature form on an annual basis.

The Principal Investigator is permitted to specify additional persons authorized to initiate and/or approved transactions for their sponsored award. The Principal Investigator is not permitted to remove authorized persons from the pre-established department/unit authorized signature forms, or disallow the actions of such an authorized person.

To better facilitate the hiring of graduate student workers, the Office of Graduate Studies is authorized to enact payroll transactions for graduate students on sponsored awards. It is the responsibility of the Office of Graduate Studies to maintain their own policies and procedures to ensure the appropriate hiring and pay allocation of these students.
Sponsored Awards Authorized Signature Policy

The Principal Investigator is responsible for justifying the appropriateness of direct costs budgeted and charged on sponsored projects in accordance with overall government regulations, sponsoring agency guidelines, conditions made as a part of an individual award, and UMB policies and guidelines. Providing this justification both in budgeting for and charging sponsored projects requires close familiarity with the programmatic and technical aspects of the sponsored project. For this reason, primary responsibility for justifying the appropriateness of direct costs in accordance with government regulations, sponsoring agency guidelines, and UMB guidelines rests with the Principal Investigator.

DEFINITIONS

Signature Authority: Authority granted by the Board of Trustees to bind the University in grants or contracts related to research. Signature Authority is not the same as budget authority.

Sponsored Program: An externally funded research or scholarly activity that has a defined scope of work and/or set of objectives, which provides a basis for sponsor expectations.

RELATED DOCS OR WEBSITES

GM Signature Authorization Form Template DEPT
GM Signature Authorization Form Template UNIT
Sponsored Project Signature Authorization Form

University of Massachusetts Internal Control Plan

CONTACTS

Office of Research & Sponsored Programs
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Healey Library, 10th Flr, Ste 26

Responsible Executive: Vice Provost for Research Bala Sundaram
Responsible Office: Office of Research & Sponsored Programs
Approved By: Matthew Meyer, Assoc VP for Research & Director of ORSP
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