

## OVERSIGHT OF GIFTS, GRANTS, AND CONTRACTS

This policy covers all gifts, grants, and contracts involving University Library faculty and staff in which the resources (financial, human, and facility) of the University Library are involved, regardless of the source of funding. It includes any proposals or agreements, whether the individual is the principal investigator (P.I.) or participants on projects originating from another university department or another institution. The procedures described here are designed to assure the smooth management of a project from its initial development to the completion of the final reports. They are in no way intended to infringe upon the intellectual freedom of any faculty member in the Library or to control the direction of an individual's research.

1. All proposals and agreements, including those originating in other units of the campus, must be approved by the University Librarian and/or the Associate University Librarian for Information Technology.
2. If a proposal or agreement impacts upon areas outside the individual's unit, the P.I. should consult with any or other library units whose activities may be affected, (e.g., Preservation, Systems, Collections).
3. In developing or negotiating a gift or a grant, the P.I. should consult the following people, where appropriate:
  - a) University Librarian
  - b) Associate University Librarian for Information Technology (overall content, budget)
  - c) Director of the Library Business Office or designee
  - d) Director of Development (for all gifts, donations, in kind contributions from corporate, private sources, or foundation.)
  - e) Associate University Librarian for Collections (collections and collection support)
  - f) Representative of the Office of Grants and Contracts (external awards)
4. Proposals and agreements including copy of sponsor/agency request letter and/or guide are reviewed by:
  - a) Associate University Librarian for Information Technology (overall content and budget)
  - b) Director of the Library Business Office or designee (budget)
  - c) Director of Development (for all gifts, donations, in kind contributions from corporate, private sources, or foundation.)

See Grants and Contracts web site: [oba.uiuc.edu/gco](http://oba.uiuc.edu/gco) and [oba.uiuc.edu/manual](http://oba.uiuc.edu/manual)

The Grants and Contracts Office is responsible for ensuring compliance with University, State, and sponsor policies; determining that the proposal is complete; confirming that all approvals have been obtained; ascertaining that the budget is in order; and that unusual

requirements are considered. The Grants and Contracts Office will secure the signature of the University's authorizing official.

5. When a proposal is funded or rejected, the P.I. notifies the following individuals:
  - a) University Librarian
  - b) Associate University Librarian for Information Technology (content and budget)
  - c) Associate University Librarian for Collections (collections and collection support)
  - d) Director of Development (for all gifts, donations, in kind contributions from corporate, private sources, or foundations.)
  - e) Director of the Library Business Office

Note: It is the responsibility of the P.I. to provide each individual with a copy of the final approved proposal narrative, budget, and any amendments.

6. Allocation of Institutional Cost Recovered (ICR) Funds:
  - a) 82% to the college (Library)
  - b) 8% to the campus
  - c) 10% to the Office of Research (Vice Chancellor)

Note: ICR funds are available for use by the grant or the P.I. without prior approval by the University Librarian and the Director of the Library Business Office according to the guidelines stated in the policy on the ICR Monies Distribution.  
(<http://door.library.uiuc.edu/administration/services/policies/icr.htm>)

7. The P.I. is responsible for regularly reporting on the status of the project to the Associate University Librarian for Information Technology. A copy of each report sent to the funding agency is to be submitted to the Office of Grants and Contracts, the Associate University Librarian for Information Technology and to the Library Business Office's Central Grant file. All Principal Investigators **must** deposit a copy of the project final report with all individuals listed under #5.
8. Any requests for changes in the project budget, basic goals, and extensions submitted by the P.I. to the granting agency must be transmitted by the P.I. through the Grants and Contracts Office of the University, not directly to the granting agency. Copies of each request must be submitted, in advance, to the Associate University Librarian for Information Technology and the Director of the Library Business Office who will then advise as to whether broader consultation is necessary.
9. No civil service job classifications may be used for positions established on grant funds. Graduate Assistants, Academic Professionals, and Visiting Faculty are appropriate employee categories for grant funds. P.I.'s are responsible for ensuring that all project employees fully utilize their accruing benefits before termination of the grant.

This directive is in compliance with the University of Illinois Manual for Business and Finance 16.1.3.

#### Time Table

Action	Time Frame
1. Approval of proposal narrative, budget, and other commitments by University Librarian or designee.	No later than 18 days prior to deadline. Approval is to be provided within 3 working days after receipt.
2. Additional approvals if needed. The Associate University Librarian for Information Technology will identify any additional approvals needed to be obtained by the P.I.	No later than 12 days prior to the deadline. Approvals are to be provided within 2 working days after receipt.
3. Budget review by the Library Business Office and the Associate University Librarian for Information Technology or designee and Grants and Contracts.	No later than 10 days prior to deadline. The budget is to be returned to the P.I. within 2 working days. After review by the Associate University Librarian for Information Technology, the budget then is submitted to Grants and Contracts for review for external request.
4. Final copies of the proposal, with budget, are to be provided to the University Librarian, Associate University Librarian for Information Technology, and Associate University Librarians for Collections and for Services.	Seven working days prior to the deadline. Comments are to be provided within 2 working days after receipt.
5. Working with the Library Business Office, submit proposal, including 3 signed copies of transmittal forms, to campus Grants and Contracts for external proposal.	Five working days prior to the submission to the granting agency.
6. P.I. provides copies of the submitted proposal to the Associate University Librarian for Information Technology, Director of the Library Business Office, and the Director of Development.	Within one week after submission of the proposal.
7. When the P.I. is notified about the acceptance or rejection of the application, the P.I. informs the University Librarian, Associate University Librarian for Information Technology, Director of the Library Business Office, and the Director of Development.	Within one week after notification.

Directive No.: 6 Appendix – Checklist

Approvals and Reviews

- \_\_\_\_\_ University Librarian
- \_\_\_\_\_ Associate University Librarian for Information Technology (overall content and budget)
- \_\_\_\_\_ Director of the Library Business Office or designee (budget)
- \_\_\_\_\_ Director of Development (for all gifts, donations, in kind contributions from corporate, private sources, or foundations.)
- \_\_\_\_\_ Associate University Librarian for Collections (for proposals related to collections and collection support)
- \_\_\_\_\_ Grants and Contracts (external proposals)

Distribution of Final Proposal and Any Amendments, or Extension Letters.

- \_\_\_\_\_ Associate University Librarian for Information Technology
- \_\_\_\_\_ Director of Development
- \_\_\_\_\_ Library Business Office

Notification of Acceptance or Rejection of Proposal

- \_\_\_\_\_ University Librarian
- \_\_\_\_\_ Associate University Librarian for Information Technology
- \_\_\_\_\_ Director of Development
- \_\_\_\_\_ Library Business Office