

Standard Operating Procedure:

**Noncompliance with Policies, Terms,  
or Conditions of Agreements**

Division:

Office of Sponsored Programs

Effective Date:

01/01/2021

Executive Director Approval:

Reference to ASC or State Policy:

Sponsored Programs Administration

Revisions:

- I. **PURPOSE:** To establish a procedure for resolving instances where a project director responsible for a sponsored program or campus program account falls out of compliance with the policies of the CSU Fullerton Auxiliary Services Corporation (ASC) or the terms and conditions of the sponsored or campus program agreement in place which established the account.
- II. **SCOPE:** This procedure applies to projects administered by the Office of Sponsored Programs.
- III. **OBJECTIVE:** ASC needs to assure that the programs it administers comply with all legal, administrative and reporting requirements of grants, contracts, and agreements it has signed.
- IV. **PROCEDURE:** The following statements outline the ASC procedure for addressing situations where a program is out of compliance with the agreement which established the program:
  - Upon becoming aware of a situation involving noncompliance with an agreement term or an ASC policy, the Sponsored Programs Administrator will work with the PI or Project Director (PD) to address the issue and create a corrective action plan.
  - The Sponsored Programs Director reviews the corrective plan for approval.
  - If the PI/PD does not correct the issue, the Administrator informs the SP Director who works with the PI/PD for a resolution.
  - If the SP Director does not reach a resolution, the Director contacts the Dean or comparable supervisor of the PI/PD.
  - If the instance of noncompliance still continues, the SP Director will contact either the AVP for Research concerning a Sponsored Program or the ASC Executive Director for a Campus Program. These two officials will determine and approve the corrective action to be implemented.
- V. **APPROVALS:** Director of Sponsored Programs, Dean or comparable supervisor, AVP of Research or ASC Executive Director as applicable.