

SIO Contracts and Grants Office

Administrative History

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Scientists at the Scripps Institution of Oceanography received grants from private individuals, from industry and from professional associations from its founding in 1903. E.W. Scripps supported the work of biologist Francis Sumner and physical oceanographer George McEwen with specific grants for research at the turn of the century. McEwen also received small grants from the agricultural industry in the 1920's. SIO Business Manager Wesley Clarence Crandall received \$100 per annum from the United States Department of Agriculture, Bureau of Soils in 1912 and 1913 to conduct research on harvesting giant kelp as a source of fertilizer.¹ Francis P. Shepard negotiated grants to support his work from the Geological Society of America (GSA) from 1937-1939. These grants were usually negotiated by individual scientists directly with the funding agency, in consultation with the Director of the Scripps Institution of Oceanography and occasionally in consultation with the Comptroller of the University of California. Records documenting these grants can be found in the papers of individual scientists and occasionally among the records of the SIO Office of the Director.

This situation changed dramatically on August 15, 1941, when the Office of Scientific Research and Development (OSRD) and the University of California executed a contract that supported defense related research in underwater sound, which was to be conducted at the newly established University of California Division of War Research (UCDWR) located in San Diego.² This contract was negotiated directly by OSRD with the Regents and the President of the University of California. There was a close relationship between UCDWR and SIO. Many SIO scientists worked at UCDWR during World War II. When UCDWR was closed at the end of the war, some of its research contracts were taken over by the University of California Marine Physical Laboratory, established in San Diego on June 1, 1946. The Marine Physical Laboratory became part of the Scripps Institution of Oceanography in April 1948.

Throughout the war and during the immediate postwar period, policy regarding federally sponsored research at the University of California was set by Robert Underhill representing the UC Regents, the President of the University of California and the UC Office of the Vice President-Business Affairs. Underhill consulted on policy matters with regard to university laboratories located in San Diego with the Director of the Scripps Institution of Oceanography.

On September 1, 1948, John C. Kirby arrived in La Jolla to organize the SIO Business Office. Kirby reported to the UC Controller's Office in Los Angeles. While University policy continued to be set by Robert Underhill and Scripps policy continued to be established by the director, Kirby was responsible for meeting contract and grant fiscal and reporting requirements.

The Office of Naval Research, a major funder of sponsored research on the Scripps campus during the postwar years, established a Los Angeles branch office. ONR contract officers frequently visited the SIO campus to confer with scientists, the director and Kirby. During this period, scientists wrote proposals and submitted them to the director for review. Kirby checked budgets before the proposals were submitted to a possible funder. Fiscal oversight for funded proposals was the responsibility of the UCLA Chief Accounting Officer and John Kirby. There were often conflicts between staff of the SIO Director's office and the UCLA Controller's Office, during these years, over matters of administration with regard to contracts and grants.

The UCSD Office of Contract and Grant Administration had its origin in the 1950's as a function of the newly created UCSD Business Office. By October 1961, a UCSD Contracts Office had been established. In 1968 the UCSD office became the Office of Contract and Grant Administration reporting to the Vice Chancellor of Business and Finance. Beginning in 1961, all proposals for funding generated at the Scripps Institution of

Oceanography were submitted first to the SIO Office of the Director for review and then to the UCSD office for review and transmittal to appropriate agencies. The UCSD office accepted and executed all extramural funding. Overhead rates were negotiated by UC Systemwide Administration.

The Jebens Report³ recommended a co-location of contracts and grants functions at SIO. On January 1, 1974, long before the Jebens Report was officially released in June 1976, UCSD administrators Warren Levin, George Matson and Norman J. Sattler moved to the SIO campus. On April 1, 1974, the SIO Office of Contract and Grant Administration became operational.⁴ Marion Fox joined the staff as the NSF Grants analyst on April 1, 1974. In January 1975 George Matson became SIO Assistant Director. On April 1, 1976 Norman J. Sattler was assigned to administer the co-office at SIO. Sattler continued to serve as Assistant Manager of the UCSD office until 1978. Sattler reported to Levin until Levin returned to UCSD on January 1, 1976. Sattler then reported to George Matson. The co-location memorandum specified that: ⁵

Units under the jurisdiction of the Vice Chancellor, Marine Sciences/Director, SIO, shall submit proposals for extramural research support to the SIO Office of Contract and Grant Administration for review and administrative approval. Each such proposal shall conform to existing Contract and Grant Administration policies and procedures as codified in the [UCSD] Policy and Procedure Manual. Once approved by the SIO Office of Contract and Grant Administration, each such proposal shall then receive academic review within the Director's Office. Upon such approval the SIO Office of Contract and Grant Administration shall transmit the proposal to the appropriate agency. If, however, the proposal requests support in excess of \$1,000,000 annually in direct costs, the proposal shall be transmitted to the central Office of Contract and Grant Administration with appropriate documentation for further administrative review and approval.

Sometime in the 1980's UC campuses were empowered to set their own overhead rates in consultation with Systemwide administration.

Footnotes

1 Documentation of Crandall's research for the Bureau of Soils can be found in the SIO Biographical Files (AC5), Box 3, folders 104-105.

2 See Carolyn Rainey, A Guide to the University of California Division of War Research Reports. La Jolla: UCSD Reference No. 96-16, July 1996.

3 Arthur B. Jebbens, "The Organization, Management and Support Services for a Large Organized Research Unit within a University -Scripps Institution of Oceanography." La Jolla: UCSD, June 1976, in Records of the SIO Office of the Director (Nierenberg), AC2, Box 91, folder 3.

4 Memorandum, Warren S. Levin to Harry A. Moore, Subject: Co-Location Document -SIO Office of Contract and Grant Administration, August 29, 1975, file: ADM-143.3 in SIO Office of the Director (Nierenberg), AC2, Box 172, folder 9, "Contracts and Grants, 1974-1975."

5 Ibid., p. 2.