

University of California  
Office of the President

Associate Vice President—  
Business and Finance

Research Administration Office

# Memo

## Operating Guidance

No. 95-1  
January 6, 1995

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VICE CHANCELLORS--BUSINESS AND FINANCE ADMINISTRATION\*  
CONTRACT AND GRANT OFFICERS  
OFFICE OF THE PRESIDENT FUNCTIONAL MANAGERS

**Subject:** Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University

Enclosed is a copy of the transmittal memorandum from the President and the Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University. The policy will be incorporated into Chapter 1 of the Contracts and Grants Manual. We have also suggested that Academic Personnel incorporate the policy into the Academic Personnel Manual and into future issues of the Faculty Handbook.

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Subject Index: 01, 02  
Organization Index: U-115

David F. Mears  
Director  
Research Administration Office

Enclosure

# UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

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December 15, 1994

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## CHANCELLORS

SENIOR VICE PRESIDENT--BUSINESS AND FINANCE

VICE PRESIDENT--AGRICULTURE AND NATURAL RESOURCES

RESEARCH ADMINISTRATION

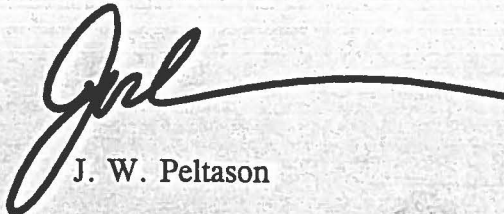
Dear Colleagues:

The enclosed University of California Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University is effective immediately. This Policy does not apply directly to the Department of Energy National Laboratories which already have similar policies in place, consistent with Federal requirements.

This Policy was developed at the request of the Council on Research. The requirement that all proposals for grants and contracts must be submitted through the University is necessary to ensure compliance with relevant University policies and procedures governing the conduct of research and other extramural activities. This Policy does not apply to permissible consulting activities which do not utilize University resources or facilities.

Thank you for your advice and cooperation in developing this Policy.

Sincerely,



J. W. Peltason

Enclosure

cc: Laboratory Directors  
Members, President's Cabinet  
Vice Provost King  
Special Assistant Gardner  
Members, Council on Research  
Principal Officers of The Regents

**POLICY ON THE REQUIREMENT TO SUBMIT PROPOSALS AND TO RECEIVE  
AWARDS FOR GRANTS AND CONTRACTS THROUGH THE UNIVERSITY**

It is the policy of the University of California that employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.

This requirement is necessary to insure that all research and other extramurally funded projects conducted by University employees, or with the use of University resources or facilities, are approved by the appropriate University contract and grant office and comply with relevant University policies and guidelines, including but not limited to those governing:

- o integrity in research;
- o appropriateness of the activity to the University;
- o protection of human and animal subjects and the environment;
- o use of University facilities;
- o adherence to personnel policies;
- o compensation plans;
- o intellectual property;
- o conflicts of interest;
- o recovery of direct and indirect costs;
- o liability insurance and indemnification; and
- o medical malpractice coverage.

In the case of projects to be conducted by the University in collaboration with other organizations, the University can be either the prime contractor or a subcontractor. In all cases, all resources required for the conduct of the portion of the work which will be directed by University employees must be included in the award to the University.

Exceptions to the requirement to submit proposals and awards through the University may be granted by Chancellors in unusual circumstances on a case by case basis, after consideration of the policy areas cited above, when it is in the best interest of the University. When an exception is granted, there must be a clear distinction between service to the University and service to the external party; relevant personnel policies shall be followed; the name of the University shall not be used by the external party; and in no case shall the University assume liability for a third party's action without the approval of The Regents as required by the Bylaws and Standing Orders of The Regents.