

EXECUTIVE VICE CHANCELLOR AND PROVOST  
VICE CHANCELLOR FOR RESEARCH

Re: Redlegation of Authority – Authority to Approve Exceptions to the UC Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University

I hereby redelegate the authority to grant exceptions to the UC Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University, December 15, 1994.

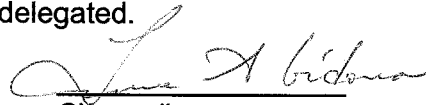
This re delegation is subject to the following:

1. The requirements contained in the UC Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University.
2. The guidance contained in President Peltason's transmittal memo of December 15, 1994.

**Effective Date:** November 1, 2006

**Reference:** Relevant personnel policies, including APM 025 and Chapter 1 of the University of California Contract and Grant Manual.

**Redelegations:** This authority may not be redelegated.

  
Chancellor

**Attachments** 1) UC Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University, December 15, 1994

2) President Peltason's transmittal memo of December 15, 1994

**cc:** Senior Vice President, Business and Finance  
Secretary of the Regents  
General Counsel and Vice President for Legal Affairs  
Special Assistant, Coordination & Review  
Vice Chancellor Bolar  
Vice Chancellor Diaz

# Research Administration Office

## University of California

Memo

Operating Guidance

No. 95-1

January 6, 1995

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.

Refer:

Barbara Yoder

(510) 987-9848

barbara.yoder@ucop.edu (e-mail)

Subject Index: 01, 02

Organization Index: U-115

David F. Mears

Director

Research Administration Office

Enclosure

---

OFFICE OF THE PRESIDENT

300 Lakeside Drive

Oakland, California 94612-3550

December 15, 1994

CHANCELLORS

SENIOR VICE PRESIDENT--BUSINESS AND FINANCE

VICE PRESIDENT--AGRICULTURE AND NATURAL RESOURCES

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

---

University of California

Office of the President

December 15, 1994

## 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:

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