UCLA Policy 9XX: Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University 03-17-2021

Issuing Officer: Vice Chancellor for Research and Creative Activities
Responsible Dept: Research Policy and Compliance
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Supersedes: New

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I. PURPOSE AND SCOPE

This Policy implements the University of California Policy on the “Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University.”

This Policy applies to all UCLA employees who receive any part of their salary through the University or whose activities use any University resources or facilities.

This Policy does not apply to the following:

- Programs where the sponsor’s stated intent in a funding opportunity announcement, or similar published document, is to make a fellowship award directly to a student, postdoctoral fellow, or faculty member;
- Proposals submitted to Extramural Sponsors by affiliated institutions on behalf of UCLA faculty whose primary appointments are at those affiliated institutions. This includes but is not limited to the Veterans Administration Medical Center, Cedars Sinai Medical Center, or Harbor-UCLA Medical Center.
- Proposals submitted by the RAND Corporation under the UCLA-RAND MOU for Health Services Research or the UCLA-RAND Center for Law and Public Policy MOU.

II. DEFINITIONS

For the purposes of this Policy:

Extramural Sponsor refers to an entity external to UCLA (including other UC campuses, locations and units) to which a UCLA employee submits a proposal, or from which it receives an award for a grant, contract or cooperative agreement.

III. POLICY STATEMENT

The University of California requires 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 authorized University contracts and grants office. Resulting awards must be made to The Regents of the University of California.

A. All UCLA Employees
A UCLA employee may not be included on a proposal, grant application or award submitted outside of the University, unless prior approval for an exception has been granted (see UCLA Procedure 9XX.X). The policy does not apply to proposals for subawards that will be issued to UCLA under contracts or grants that are being submitted to research sponsors by other organizations. This requirement is necessary to ensure 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 all applicable federal laws and regulations, sponsoring agency guidelines and University policies and guidelines.

B. Newly Recruited Faculty

Newly recruited faculty should make every effort to have extramural support at the institution from which they are moving transferred to UCLA. If that is not feasible and any work under those contracts or grants will be conducted at UCLA using campus resources and facilities, a subaward should be issued to UCLA that includes the faculty member’s effort on the project. If it is not feasible to transfer the award(s) and no work will be done at UCLA, the faculty member will continue to expend effort on the project, an exception to this Policy should be requested (see UCLA Procedure 9XX.X).

C. Faculty Governed by the Academic Personnel Manual

Faculty who are governed by Academic Personnel Manual chapter 025 (Conflict of Commitment and Outside Activities of Faculty Members) or chapter 671 (Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants) must also separately request prior approval to engage in research, teaching or clinical activities outside the University.

D. Authority to Grant Exceptions

The authority to grant exceptions to the requirement to submit proposals and awards through the University has been delegated (UCLA DA 258.03) to the Vice Chancellor for Research and Creative Activities (“Vice Chancellor”). The Vice Chancellor may consider requests for prior approval to submit proposals through entities external to UCLA on a case-by-case basis. The process for requesting prior approval for exceptions to this Policy is outlined in UCLA Procedures XXXX.

IV. REFERENCES

2. UC Academic Personnel Manual chapter 025: Conflict of Commitment and Outside Activities of Faculty Members
3. UC Academic Personnel Manual chapter 671: Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participant
4. UCLA Delegation of Authority 258.03: Exceptions to Requirement to Submit Proposals to Receive Awards for Grants and Contracts through the University
5. UCLA Policy 110
Issuing Officer

Roger Wakimoto
Vice Chancellor for Research and Creative Activities

Questions concerning this policy or procedure should be referred to the Responsible Department listed at the top of this document.