June 1, 2021

Roger Wakimoto  
Vice Chancellor for Research & Creative Activities

Re: Policy and Procedure to Implement the UC Policy on the Requirement to Submit Proposals through the University

Dear Vice Chancellor Wakimoto,

The Executive Board, councils, and committees appreciated the opportunity to review the proposed Policy and Procedure to Implement the UC Policy on the Requirement to Submit Proposals through the University. The Executive Board reviewed the proposal and committee feedback at its meeting on May 13, 2021.

Executive Board members expressed appreciation for codifying the principle that faculty should be accountable to the University when making proposals to receive awards or grants.

Members also agreed with the practical difficulties outlined in the Council on Research’s response (attached). The key concerns are the detrimental effects of the policy on collaboration and multi-institutional research. Would the policy apply to employees with a zero-percent / unsupported effort, or to a situation where no University resources or facilities are to be used? Another concern was an increase in bureaucracy and no local mechanism for exceptions or a threshold for exemption.

The Executive Board unanimously approved a request to reformulate the proposal to address these concerns. We look forward to the opportunity for Senate review of a revised proposal.

Sincerely,

Shane White  
Chair  
UCLA Academic Senate

Encl.

Cc: April de Stefano, Executive Director, UCLA Academic Senate  
Elizabeth Feller, Principal Policy Analyst, UCLA Academic Senate  
Jody Kreiman, Vice Chair/Chair Elect, UCLA Academic Senate
May 3, 2021

Shane White, Chair
Academic Senate

Re: Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University

Dear Chair White,

At its meeting on April 28, 2021, the Faculty Welfare Committee discussed the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University. Committee members offered the following comments.

Members were in agreement with the requirement and found the clarification to be helpful. It is a helpful reminder to faculty that they are not free agents but obligated to bring grants and awards through the university.

Sincerely,

Huiying Li, Chair
Faculty Welfare Committee

cc: Jody Kreiman, Vice Chair/Chair Elect, Academic Senate
Michael Meranze, Immediate Past Chair, Academic Senate
April de Stefano, Executive Director, Academic Senate
Elizabeth Feller, Interim Analyst, Faculty Welfare Committee
Members of the Faculty Welfare Committee
April 29, 2021

Shane White, Chair
Academic Senate

Re: Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University

Dear Chair White,

At its meeting on April 7, 2021, the Council on Research (COR) had an opportunity to review the new “UCLA policy on proposals and receiving awards for grants”. Members offered the following comments.

Members commented that this policy would limit the faculty’s access to outside funding sources and would have a detrimental effect on collaborative and multi-institutional research groups and grants. Members expressed strong concern over the policy’s curtailing the possibility for collaboration. By dictating that funds should come to UCLA, it is threatening the possibility to collaborate with other institutions. While the policy attempts to clarify and provides a path to request exceptions, it has the potential to hamper flexibility by adding more bureaucracy (Vice Chancellor for Research would be the sole authorizer of exceptions). This process may help the university manage risk but it does not help advance faculty academic autonomy and creativity.

Thank you for the opportunity to review and comment. If you have any questions for us, please do not hesitate to contact me at julianmartinez@mednet.ucla.edu or via the Council’s analyst, Elizabeth Feller, at efeller@senate.ucla.edu.

Sincerely,

Julian Martinez, Chair
Council on Research

cc: Jody Kreiman, Vice Chair/Chair-Elect, Academic Senate
Michael Meranze, Immediate Past Chair, Academic Senate
April de Stefano, Executive Director, Academic Senate
Elizabeth Feller, Principal Policy Analyst, Council on Research
Members of the Council on Research
UCLA Procedure 9XX.X: Exception Requests to 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
Effective Date: TBD
Supersedes: New

I. PURPOSE & SCOPE
In accordance with the University of California Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University and UCLA Policy 9XX, UCLA 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. 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. 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 Procedure outlines the process to request prior approval for an exception to UCLA Policy 9XX including exception restrictions and requirements and considerations in granting or not granting an exception.

II. DEFINITIONS
For the Purposes of this Procedure:
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. PROCEDURE
A. Exception Restrictions and Requirements
• Exceptions cannot be made for H1-B visas holders because changes in work conditions are not permitted.
• The scope of work for the proposed research cannot overlap with research being conducted at UCLA.
Due to effort and conflict of commitment/interest concerns, requests for exceptions submitted by full-time employees may require a reduction in their UC effort for the duration of the contract or grant award.

B. Postdoctoral Scholar Exception Requests

Requests for exceptions submitted by Postdoctoral Scholars are typically considered only when the postdoctoral appointment is nearing conclusion. Postdoctoral Scholars who wish to conduct research outside UCLA and also continue to hold a part-time postdoctoral appointment on campus will need to request prior approval for an exception as outlined in this Procedure. They will also need separate approval from the Graduate Division to reduce their Postdoctoral appointment from full-time to part-time.

C. Exception Considerations

Prior approval to grant an exception to UCLA Policy 9XX will be granted in unusual circumstances and only if, considering the totality of the circumstances, the Vice Chancellor for Research and Creative Activities determines that granting the exception is in the best interest of the University.

In reviewing requests for exceptions, the Vice Chancellor will consider whether there is a compelling reason to grant an exception, the degree of overlap in and/or conflicts with research and/or responsibilities between the proposed activity and the requestor’s University duties and responsibilities, the adequacy of the separation between the requestor’s University obligations and the proposed extramural activities, the risk that the proposed activity may result in a violation of University policy, and the justifications for the request.

D. Requesting an Exception

Requests for exceptions to submit a proposal or application outside UCLA must be sent to RPC@research.ucla.edu. All exception requests must be endorsed by the relevant Department Chair and Dean. Requests can take the form of a memo or email that includes:

1. A copy of the proposal or, if the proposal has not been finalized, information about the proposed project, the funding agency, performance period, scope of work, budget, the requestor’s role and the anticipated effort on the project.

2. The rationale/justification for the request, including anticipated benefits to the University and reason why the proposal cannot be submitted through UCLA.

3. An explanation of how the investigator will maintain a clear distinction and separation between service to UCLA and service to the organization through which the proposal is to be submitted.

4. Confirmation that the proposed project activity will not interfere with the individual’s duties and responsibilities to UCLA.

5. Confirmation that all UCLA policies, including those regarding personnel, research, conflict of interest, conflict of commitment, information security, and intellectual property, will be followed.

6. Confirmation that the University of California or UCLA name and logos will not be used by the external party without prior approval (see UCLA Policy 110).

UCLA faculty who are also affiliates of the National Bureau of Economic Research (NBER) will need to request exceptions as outlined in this Procedure. However, they may submit their requests using the UCLA process for a “Streamlined request for approval to submit a proposal for research.

E. Determinations after Review

After review by the Vice Chancellor, written notification either of a decision to approve or to deny a request will be sent to the requestor, their Department Chair, and Dean. If upon review the Vice Chancellor feels additional information/clarification is needed, requestors will have an opportunity to provide additional information before a final decision is made. A copy of the approval notification will also be shared with the Academic Personnel Office and the Office of Research Administration.

Copies of approved or denied request forms will be kept on file in the Office of the Vice Chancellor for Research and Creative Activities, and for faculty, in the Academic Personnel Office.

All research proposals and awards submitted through UCLA and through any outside organization by exception must be included on disclosures of “Other Support” or “Current and Pending Support” disclosed to Extramural Sponsors regardless of which entity is responsible for administering the award.

IV. REFERENCES

3. Streamlined request for approval to submit a proposal for research support through the National Bureau of Economic Research (NBER) under the Policy on the Requirement to Submit Proposals and Receive Awards through UC.

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.
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.