

## UC IRVINE RESEARCH POLICIES, GUIDELINES & PROCEDURES

### OFFICE OF RESEARCH

#### Section 483-3: Guidelines for the Requirement to Submit Proposals & Receive Awards through the University

**Responsible Administrator:** Vice Chancellor for Research – Office of Research

**Issued:** March 1995

**Revised:** November 2013

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#### References/Resources

[UC Policy – Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University](#)

[UC Contract and Grant Manual – Chapter 2, Section 2-120](#)

**Contacts:** Office of Research – Assistant Vice Chancellor for Research Administration at (949) 824-5677 or [bruce.morgan@uci.edu](mailto:bruce.morgan@uci.edu) or Director of Sponsored Projects at (949) 824-2897 or [nrlewis@uci.edu](mailto:nrlewis@uci.edu)

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#### A. Purpose

The [University of California Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University](#) was established to insure that all extramurally-funded projects comply with relevant University policies and guidelines, such as those governing:

- Integrity in research
  - Research protections
  - Use of UCI facilities and resources
  - Intellectual property
  - Conflicts of interest and conflict of commitment
  - Cost recovery
  - Liability insurance and indemnification.
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#### B. Applicability

Except as specified below, the University policy applies to all proposals to, and awards from, extramural sponsors for the following activities:

- Research
- Scholarly and professional training
- Public service

The University policy also applies to subrecipient proposals and subawards.

Excluded from the policy are:

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- 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;
  - Programs under which UCI is not eligible to receive funding;
  - Proposals submitted and awards received by UCI employees through an entity under an appropriately authorized agreement allowing UCI employees to partner with the entity for this purpose.
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### C. Definitions

**Extramural sponsor** - an entity external to UCI (including other UC campuses, locations and units) to which a UCI submits a proposal, or from which it receives an award.

**Extramural funding program** - a program, activity or process established by an extramural sponsor for the purpose of funding the project or program of another entity.

**Funding opportunity announcement** - a published description of an extramural funding program.

**Recipient** - the legal entity receiving an award for a project or program from an extramural sponsor. Prime Recipient is used when the project or program involves at least one other legal entity as a subrecipient.

**Subaward** - a written document issued under the authority of an award that transfers a substantive portion of a project or program from a prime recipient to a subrecipient.

**Subrecipient** - a legal entity that receives a subaward.

**UCI employee** means anyone receiving full or part-time salary through UCI or anyone using UCI resources and facilities (including without-salary appointees).

**UCI resources and facilities** include labor, materials and assets (both monetary and non-monetary), under the control and management of UCI, for example:

- Funding
  - Facilities and/or office space (whether owned, leased or rented by UCI)
  - Intellectual property
  - Equipment and instrumentation
  - Time and effort of employees.
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### D. Request for Exception

Any request for exception to University policy will be considered on a case-by-case basis by the Vice Chancellor for Research. Requests must be submitted in writing to the Assistant Vice Chancellor for Research Administration who will coordinate the review, analysis, consultation with the requestor's unit, and communication of the final decision.

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The submitted request must:

- Describe the unusual circumstances prompting the request;
- Describe the proposed project/program in sufficient detail to inform the decision making process;
- Confirm that no UCI resources and facilities will be used to conduct the project/program;
- Explain, in clear and unambiguous terms, the distinction between service to UCI and service to the external entity; and
- Explain how the proposed arrangement is in the best interest of UCI.