



**Nicholas B. Dirks**  
CHANCELLOR  
PROFESSOR OF HISTORY  
PROFESSOR OF  
ANTHROPOLOGY

200 California Hall #1500  
Berkeley, CA 94720-1500  
510 642-7464  
510 643-5499 FAX  
chancellor@berkeley.edu



February 23, 2017

VICE CHANCELLOR FOR RESEARCH

Re: Delegation of Authority – Policy on Submission of Proposals and Receipt of Awards

Under the attached Presidential Policy dated December 15, 1994, all employees who receive any part of their salary through the University must submit all of their proposals for extramural support through the appropriate local contracts and grants office and receive all of their awards through the University. The policy provides that Chancellors may grant exceptions in unusual circumstances where such an exception is in the best interest of the University.

Effective immediately, I am delegating to you as Vice Chancellor for Research the authority to grant exceptions to this policy when, in your determination, it is in the best of the University to do so. This authority may not be re-delegated.

Sincerely,



Nicholas B. Dirks

Attachment

cc: ✓ Office of Ethics, Risk and Compliance Services  
Assistant Vice Chancellor - Research Administration & Compliance



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

<b>Responsible Officer:</b>	VP - Research & Graduate Studies
<b>Responsible Office:</b>	RG - Research & Graduate Studies
<b>Issuance Date:</b>	12/14/1994
<b>Effective Date:</b>	12/14/1994
<b>Scope:</b>	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.

<b>Contact:</b>	Jeff Hall
<b>Email:</b>	<a href="mailto:jeff.hall@ucop.edu">jeff.hall@ucop.edu</a>
<b>Phone #:</b>	(510) 987-0688

### I. POLICY SUMMARY

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.

### II. DEFINITIONS

Not applicable

### **III. POLICY TEXT**

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
- professional liability coverage.

### **IV. COMPLIANCE / RESPONSIBILITIES**

Each Chancellor is responsible for establishing procedures to ensure compliance with this Policy

### **V. PROCEDURES**

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.

### **VI. RELATED INFORMATION**

Not applicable.

### **VII. FREQUENTLY ASKED QUESTIONS**

Not applicable

## **VIII. REVISION HISTORY**

This policy was reformatted into the standard University of California policy template effective April 1, 2012.