



# UC San Diego

## Policy & Procedure Manual

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### 150 – Contracts and Grants (Research)

#### Section: 150-82

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## UC SAN DIEGO IMPLEMENTING PROCEDURE FOR UNIVERSITY OF CALIFORNIA POLICY, “REQUIREMENT TO SUBMIT PROPOSALS AND TO RECEIVE AWARDS FOR GRANTS AND CONTRACTS THROUGH THE UNIVERSITY”

### SCOPE

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This policy covers all University employees who receive any part of their salary through the University or whose activities use any University resources or facilities.

### POLICY SUMMARY

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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 appropriate contracts and grants office. Awards must be made to The Regents of the University of California. Exceptions to the requirement to submit proposals and awards through the University may be granted by the Vice Chancellor for Research and Innovation (VCRI) on a case-by-case basis.

### DEFINITIONS

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Not applicable.

### POLICY STATEMENT

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The governing policy is UC Policy, “[Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University](#).”

### RESPONSIBILITIES

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The VCRI has been delegated the authority to grant exceptions on a case-by-case basis to the requirement to submit proposals and receive awards of extramural support through the University. Exceptions may be granted by the VCRI if the exception is in the best interests of the University. Exception requests must be submitted via the online request form. The Research Compliance and Integrity (RCI) Office will provide recommendations on the request to the VCRI.

**University of California San Diego Policy – PPM 150 - 82  
PPM 150 - 82 UC San Diego Implementing Procedure for UC Policy, “Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University”**

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**PROCEDURES**

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1. In advance of submitting proposals to or accepting an award from an external party that will not be administered by the University, the requestor must complete the [online request form](#). Please be prepared to provide the following information:
  - a. A list of the specific proposals, grant applications, and awards that the requestor wishes to be on outside of the University. For each proposal, grant application, and award, the requestor should provide the proposal title, agency, grant time period, their anticipated role, and their anticipated time commitment.
  - b. The rationale/justification for the request, including anticipated benefits to the University.
  - c. An explanation for why the requested activity will not interfere with the requestor’s duties and responsibilities to the UC San Diego campus.
  - d. Information on how the requestor will maintain a clear distinction and separation between the requestor’s service to the University and service to the external party.
  - e. An affirmation from the requestor that all University personnel, research, and intellectual property policies will be followed and that the University name will not be used by the external party without prior University approval.
2. Once the online form is submitted, the form will be routed, via email, to the requestor’s Department Chair (or designee) or Dean for approval.
3. In reviewing requests for an exception, the VCRI will consider whether there exists 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.
4. The VCRI will determine if the exception request is permissible. Exception requests will be granted only in unusual circumstances and only if, considering the totality of the circumstances, the VCRI determines that granting the request is in the best interests of the University. Written notification will be provided to the requestor and their Department Chair or Dean.
5. The RCI Office will maintain a list of the exception requests (regardless if approved or not) in accordance with the UC Records Retention Schedule at <https://recordsretention.ucop.edu/>.

**FORMS**

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Not applicable.

**RELATED INFORMATION**

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“Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University” at <https://policy.ucop.edu/doc/2500500/ReqSubmitProp-Awar>.

**FREQUENTLY ASKED QUESTIONS (FAQ’S)**

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Exceptions to Conduct Research Outside the University FAQs at <https://blink.ucsd.edu/sponsor/rci/exceptions-faq.html>.

**University of California San Diego Policy – PPM 150 - 82  
PPM 150 - 82 UC San Diego Implementing Procedure for UC Policy, “Requirement to  
Submit Proposals and to Receive Awards for Grants and Contracts through the  
University”**

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**REVISION HISTORY**

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12/03/2019      New policy issued.

06/03/2021      Technical edits made to update names and hyperlinks.

10/18/2024      Technical edits made to update names and hyperlinks