

Date: March 15, 2021

From: Scott Brandt, Vice Chancellor for Research

To: Deans, Directors, Chairs, Faculty, Researchers

Subject: UC Requirement to submit all proposals and to receive all awards for grants and contracts

University of California policy requires that all employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit all proposals and receive all awards for extramural support through the appropriate central office, i.e., the Office of Sponsored Projects (OSP). This requirement is necessary to ensure that all extramurally funded projects are screened for their compliance with relevant University, state, and federal policies and guidelines, and to insure the appropriate exercise of UCSC's fiscal responsibility for all extramural awards. Exceptions may only be granted by the Chancellor in unusual circumstances on a case-by-case basis when it is in the best interest of the University. [[UC-RG-12-0014 Requirement to Submit Proposals Receive Awards for Grants and Contract through University](#)]

Nevertheless, we receive dozens of award notifications annually in response to proposals for contracts and grants that bypassed OSP and were submitted without their knowledge or approval. These are typically to funding programs that do not themselves explicitly require or check for OSP submission, including corporate and foundation funding programs, fellowship programs, sub-awards from other universities, and even UCOP-managed programs. These awards frequently have incorrect budgets and UCOP-forbidden terms and conditions, two significant problems that OSP verifies on all submitted proposals. In addition to violating UC policy, addressing these problems at award time wastes staff, researcher, and sponsor time, causes delays in award processing, annoys PIs and sponsors, and takes a grossly disproportionate amount of staff time and energy away from in-policy proposals and awards.

I am writing to reiterate that it is absolutely essential that all UCSC faculty and staff comply with UC policy by submitting all grant or contract proposals for extramural funding and accepting all grant or contract awards through OSP.

Effective April 15, 2021, the campus will decline any grant or contract for extramural funding where the proposal was submitted after that date other than via OSP.

Exceptions:

Funding opportunities that provide direct payment to the PI: Some fellowships pay the PI directly or allow the PI to choose to receive payment directly instead of through the university. If a fellowship pays the PI directly or if a PI opts to be paid directly, the PI may submit the proposal without involving OSP.

Other funding opportunities requiring submission by the PI: A small number of other funding programs require proposal submission by the PI. *Proposals submitted to such programs*

must still be reviewed and approved by OSP prior to submission regardless of sponsor requirements.

Other exceptions: Per UCOP policy, “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 ... when it is in the best interest of the University.” Exception requests must be submitted online by the PI or, in the case of student fellowships, the advisor, via [this form](#) for approval by the Dean, VCR, and Chancellor.

Thank you in advance for protecting UCSC’s research enterprise by helping us make sure that all UC, state, and federal requirements are fulfilled.

Yours,



Scott A. Brandt
Vice Chancellor for Research

Cc: Cindy Larive, Chancellor
Lori Kletzer, CPEVC
Paul Roth, Chair, Committee on Research
Vice Chancellors and Vice Provosts