

Date: October 7, 2009

To: SPH Faculty

From: Linda Rosenstock, Dean, SPH
Roshan Bastani, Associate Dean for Research, SPH

Re: Requirement to Submit Contract and Grant Proposals through UCLA and SPH

1. Requirement to Submit Proposals through UCLA

Per UC policy, all proposals for extramural research support must be processed through the University.

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.

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 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.

All SPH exceptions must first be reviewed and approved by the SPH Dean or Associate Dean for Research who will then forward the request to the Chancellor.

For further information, please see the "UC Policy on Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University":
<http://www.ucop.edu/ucophome/coordrev/policy/12-15-94att.html>

2. Requirement to Submit Proposal through SPH

Consistent with UCLA Procedure 910.1, faculty members (and other eligible PIs) with primary appointments in SPH are required to submit all proposals for extramural support through SPH. All awarded contracts and grants will reside in SPH. Exceptions to this policy may be granted on rare occasions and require prior written approval from the Dean or Associate Dean for Research.

As indicated in UCLA Procedure 910.1, Chairs, Center Directors (as appropriate in SPH), and Dean will review proposals for:

- The appropriateness of time commitments outlined for both faculty and staff. Other time commitments of those involved including teaching, administrative responsibilities, Academic Senate duties, and other extramurally funded activities

should be considered. The appropriateness and accuracy of titles and salary levels specified should be confirmed.

- The eligibility of individuals to be Principal Investigators or Co-principal Investigators.
- Any cost-sharing and/or matching funds requirements which are indicated in the proposal.
- The availability of space to carry out the proposal.
- Statements regarding involvement of human subjects.
- Any equipment acquisitions contemplated by the proposal.

As indicated in UCLA Procedure 910.1, Section IV: "If Principal Investigator or Co-Principal Investigator's primary academic appointment is other than the academic department where the proposed research will be conducted, signatures of each Department Chair and of the responsible Dean(s) must be obtained." Prior approval of the Dean is required before preparation of the goldenrod for signature.

For more information, please see UCLA Procedure 910.1:

<http://www.adminpolicies.ucla.edu/app/tabid/86/Default.aspx?&id=910-1>