

Contract and Grant Manual

Chapter 1 -- ACADEMIC POLICY [Revised June 2011]

[\[Return to Manual Chapter Listing\]](#)

Table of Contents

[1-100 THE BOARD OF REGENTS](#)

[1-110 REGENTS' COMMITTEE ON EDUCATIONAL POLICY](#)

[1-200 ACADEMIC SENATE](#)

[1-210 MEMBERSHIP](#)

[1-220 DIVISIONS OF THE ACADEMIC SENATE](#)

[1-230 STANDING COMMITTEES OF THE ACADEMIC SENATE](#)

[1-300 PRESIDENT'S DUTIES AND STATEMENTS ON ACADEMIC POLICY](#)

[1-310 PRESIDENT'S DUTIES](#)

[1-320 APM-020: UNIVERSITY NO. 4, SPECIAL SERVICES TO INDIVIDUALS AND ORGANIZATIONS](#)

[1-330 PRINCIPLES UNDERLYING APM-020 - REGULATION NO. 4](#)

[1-340 GUIDELINES ON UNIVERSITY-INDUSTRY RELATIONS](#)

[1-350 GUIDANCE ON UNIVERSITY ACADEMIC POLICY](#)

[1-400 PUBLICATION POLICY AND RIGHTS TO RESULTS OF EXTRAMURAL PROJECTS OR PROGRAMS](#)

[1-410 POLICY](#)

[1-420 PRESIDENTIAL POLICY STATEMENT ON RESTRICTIONS ON RIGHTS TO PUBLISH OR DISSEMINATE INFORMATION RESULTING FROM WORK UNDER SPONSORED PROJECTS](#)

[1-430 ACADEMIC SENATE RESOLUTION ON FREEDOM TO PUBLISH RESEARCH RESULTS](#)

[1-440 APM-010 ACADEMIC FREEDOM](#)

[1-500 PRINCIPAL INVESTIGATOR POLICY](#)

[1-510 SOLICITATION AUTHORITY](#)

[1-520 LEADERSHIP OF A SPONSORED PROJECT](#)

[1-530 WHO MAY SUBMIT PROPOSALS](#)

[1-600 POLICY ON FACULTY CONDUCT](#)

[1-700 COMPENSATION FOR SERVICES AND CONSULTING](#)

[1-800 CONFLICT OF INTEREST](#)

[1-900 RELATIONS WITH STATE AND FEDERAL OFFICIALS](#)

[1-1000 RELATIONS WITH STUDENTS](#)

[1-9999 RELATED UNIVERSITY REFERENCES](#)

1-100 [THE BOARD OF REGENTS](#)

1-110 *REGENTS' COMMITTEE ON EDUCATIONAL POLICY*

[Section 10.1 of the Bylaws of The Regents of the University of California](#) lists ten Standing Committees of the Board: Compliance and Audit; Compensation; Educational Policy; Finance; Governance; Grounds and Buildings; Health Services; Investments; Long Range Planning and Oversight of the Department of Energy Laboratories.

[Section 12.2 of the Bylaws](#) establishes the responsibilities of the Committee on Educational Policy. The Committee's duties relevant to contracts and grants are as follows:

* * *

(c) Consider and report to the Board on matters relating to the research, training, and public service activities of the University and recommend to the Board the establishment or disestablishment of colleges, schools, and graduate divisions organized research units and other major research activities, special training programs, and public service undertakings, except for matters assigned to the Committee on Oversight of the Department of Energy Laboratories.

(d) Consider and recommend to the Board on the solicitation and acceptance or execution of grants and contracts for research, training, and public service, except as otherwise

provided in the Bylaws and Standing Orders, provided, however, that all actions relating to research that require the appropriation of University funds not already appropriated, or that would commit the University to an appropriation of its funds, shall be subject to approval by the Committee on Finance.

* * *

(f) Consider and recommend to the Board policies relating to organized efforts to solicit grants, pledges, and gifts for any University purpose from multiple sources such as individuals, firms, corporations, foundations, groups, and/or organizations.

1-200 ACADEMIC SENATE

1-210 *MEMBERSHIP*

Standing Order 105.1, Organization of the Academic Senate, Section (a) states:

(a) The Academic Senate shall consist of the President, Vice Presidents, Chancellors, Vice Chancellors, Deans, Provosts, Directors of academic programs, the chief admissions officer on each campus and in the Office of the President, registrars, the University Librarian on each campus of the University, and each person giving instruction in any curriculum under the control of the Academic Senate whose academic title is Instructor, Instructor in Residence; Assistant Professor, Assistant Professor in Residence, Assistant Professor of Clinical (e.g., Medicine); Associate Professor, Associate Professor in Residence, Associate Professor of Clinical (e.g., Medicine), Acting Associate Professor; Professor, Professor in Residence, Professor of Clinical (e.g., Medicine), or Acting Professor; full-time Lecturer with Potential for Security of Employment, full-time Senior Lecturer with Potential for Security of Employment, full-time Lecturer with Security of Employment, or full-time Senior Lecturer with Security of Employment; however, Instructors and Instructors in Residence of less than two (2) years' service shall not be entitled to vote. Members of the faculties of professional schools offering courses at the graduate level only shall be members also of the Academic Senate, but, in the discretion of the Academic Senate, may be excluded from participation in activities of the Senate that relate to curricula of other schools and colleges of the University. Membership in the Senate shall not lapse because of leave of absence or by virtue of transference to emeritus status.

1-220 *DIVISIONS OF THE ACADEMIC SENATE*

According to the By-Laws of the Academic Senate, Part III, Divisions of the Academic Senate, Title I, Membership and Authority, Section 305, Divisions: "The Academic Senate has ten Divisions: Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz." Each Division determines its membership in accordance with the Bylaws of the Academic Senate and with the Standing Orders of The Regents. Each Division also may establish appropriate standing committees to deal with matters in various areas, including research.

1-230 *STANDING COMMITTEES OF THE ACADEMIC SENATE*

One of the Standing Committees of the Academic Senate is on Research Policy. ([Bylaws of the Academic Senate, Part II, Title IV, Section 200.](#)) This Committee consists of ten members, one from each Division, including the Chair and Vice Chair. Members normally serve two year terms and should have served at least one year on their Divisional Committee.

The duties of the Academic Senate Standing Committee on Research Policy are to consider matters pertaining to:

1. Fostering research;
2. Formulating, coordinating, and revising general research policies and procedures;
3. Advising the President on research. Questions of policy and their implementation may be initiated by this Committee, referred to it by the President, or brought to its attention by Divisions;

1-300 PRESIDENT' DUTIES AND STATEMENTS ON ACADEMIC POLICY

1-310 *PRESIDENT' DUTIES*

[Regents' Standing Order 100.4](#), Duties of the President of the University, Section (j), states:

(j) The President shall consult with the Chancellors and the Academic Senate regarding the educational and research policies of the University, and shall keep the Chancellors and the Academic Senate informed about significant developments within the University and within the State and Federal governments which may have serious consequences for the conduct of education and research within the University. The President shall present recommendations to the Board concerning the academic plans of the University and the several campuses. The President shall transmit to the Board any memorial which the Academic Senate may address to The Regents.

1-320 *APM-020: UNIVERSITY REGULATION NO. 4, SPECIAL SERVICES TO INDIVIDUALS AND ORGANIZATIONS*

[University Regulation No. 4, Special Services to Individuals and Organizations](#), now published as Academic Personnel Manual APM-020, establishes the basic framework of University policy regarding the types of acceptable activities and the conditions under which the University will perform services under contract involving the use of University facilities. The following are excerpts from pertinent sections of Section II of APM-020:

II. SERVICES INVOLVING THE USE OF UNIVERSITY FACILITIES OR CONDUCTED THROUGH UNIVERSITY BUREAUS OR OTHER ORGANIZATIONS, AND UNDER CONTRACTS BETWEEN SUCH ORGANIZATIONS AND THE REGENTS

1. Presidential approval

Research for the benefit of Federal, State, industrial or other projects is to be undertaken only under conditions approved in advance by the President. Prior to execution of a contract, expenditures or commitments of any kind are prohibited except as may be authorized by specific regulations of The Regents of the University.

2. Character of Undertakings

University participation in tests and investigations shall be limited to activities which lead to the extension of knowledge or to increased effectiveness in teaching. Routine tests of a commonplace type will not be undertaken.

University laboratories, bureaus and facilities are not to be used for tests, studies, or investigations of a purely commercial character, such as mineral assays, determination of properties of materials, the performance efficiencies of machines, analyses of soils, water, insecticides, fertilizers, feeds, fuels, and other materials, statistical calculations, etc., except when it is shown conclusively that satisfactory facilities for such services do not exist elsewhere. Those requiring such tests or services should apply to business firms or to such public agencies as the State Division of Mines, the State Department of Agriculture, or the State Food and Drug Laboratory, etc.

Commercial tests or investigations involving controversial elements may be undertaken only at the direct and unanimous request of representatives of all parties to the controversy.

3. Expenses incurred by the University

For all tests and investigations made for agencies outside the University, a charge shall be made sufficient to cover all expenses, both direct and indirect.

4. Participation by Members of the Faculty*

Within the limits established under Section I, members of the faculty may render service in connection with research undertaken for the benefit of Federal, State, industrial or other projects, and may receive compensation therefor, in periods of academic recess up to a total of three months per year for 9-month appointees (or one month in the case of 11-month appointees), unless prohibited from accepting compensation by the terms of their University appointment. All persons other than members of the faculty, to be engaged in such research, must be approved by the University. All payments made to members of the faculty or to other persons for their services in connection with such research shall be made solely by the University, except in case of any Full-Time, permanent employee of the sponsoring agency. Acceptance of responsibilities by members of the faculty with reference to such research must not interfere with regular University duties, or be of a routine character undertaken primarily to supplement

personal income.

[*Note: This paragraph was superseded by Academic Personnel Manual Sections [660-0](#), [660-16](#), [664](#), [667](#), and [750](#).]

5. Publicity of results

All such research shall be conducted so as to be as generally useful as possible. To this end, the right of publication is reserved by the University. The University may itself publish the material or may authorize, in any specific case, a member or members of the faculty to publish it through some recognized scientific or professional medium of publication. A report detailing the essential data and presenting the final results must be filed with the University. Notebooks and other original records of the research are the property of the University.

6. Use of the name of the University

The use of the name of the University for advertising purposes shall not be permitted.

7. Patent Agreements

For those projects in which patentable ideas may result, in the opinion of the President or of the chairman of the department concerned, patent agreements between the sponsor and the University shall be made. Employees of the University will be required to execute agreements, before the work begins, in which the position of the employee, the University, and the sponsor shall be clearly set forth.

8. Appropriate Arrangements will be made by the President for the Administration of the policy herein set forth.

1-330 *PRINCIPLES UNDERLYING APM-020 - REGULATION NO. 4*

Concurrent with the issuance of Regulation No. 4, the President issued the [Principles Underlying Regulation No. 4](#). The following is the text of the Principles Underlying Regulation No. 4:

Faculty Service

To accomplish its aims of providing higher education, of advancing knowledge and of contributing to the welfare of the State, the University invites to its faculty scholars whose interests, learning, and accomplishments give promise of continued effective service to these ends. The service of the individual member of the faculty may include varied types of activities, such as classroom teaching, conference with students, writing, research, committee work, administrative service, and public service. To these various activities the relative time allocations will vary with individuals, and for the same individual at different periods. It is not desirable or feasible to arrange them in a fixed regimen applicable to all persons at all times. Teaching is one of the essential functions of

the faculty and the teaching "load" is intended to be moderate to provide time for fulfilling other obligations, the most evident of which are professional improvements and scholarly activity.

Certain commitments directly affecting other persons, as, for example, classroom teaching and administrative engagements, will naturally involve specific schedule and other obligations, but the University in general leaves the time allocations of such activities as study, writing, research, and public service to the discretion of the individual. It is assumed that fulltime members of the faculty are devoting their time and energies (full "working" time) to the services of the University. (See further, Regulation No. 3.)

[Regulation No. 4](#) deals with services to individuals and organizations outside the University. In the spirit of the above-outlined principles, such service may be justified if it does not interfere with University commitments and if 1) it gives the individual experience and knowledge of value to his teaching or research; 2) it is suitable research through which the individual may make worthy contributions to knowledge; or 3) it is appropriate public service.

Contract Research

The University enters into certain contracts to carry out research projects for outside agencies when it is convinced that the project is an appropriate University activity, that conditions of space, etc. are adequate, and that faculty personnel is available, competent, and interested in undertaking the work. No one is required to undertake such work, but it may present a welcome opportunity to one who is interested in the research problems involved, as supplying the necessary assistance and equipment which he otherwise might be unable to obtain. In general, the time which the regular member of the faculty gives to the work is that which he would normally have available for study and research.

The University has had the policy for many years of giving added compensation to faculty members who undertake scheduled obligations in the summer period (summer sessions), and on that analogy has, with the concurrence of contracting agencies, allowed compensation for summer contract work.

The point is sometimes raised that a faculty member may undertake individual work for an outside agency at a rate higher than that allowed by the University; also that certain contract agencies would be willing that higher payments be made from the funds they supply. Nevertheless, it would be a very unsatisfactory policy for the University, in dealing with its regular staff, to set up for individuals two rates of pay for different parts of the year, or to compensate for some of the projects it undertakes at higher proportional rates than for others.

General

It is expected that those administering or otherwise taking part in projects, or rendering services covered by University Regulation No. 4, will act in the spirit of the principles of

service to the University, and interpret any detailed statement of the regulation in the light of these principles.

1-340 *GUIDELINES ON UNIVERSITY-INDUSTRY RELATIONS*

In recognition of the importance and complexity of relations between the University of California and private industry, the President issued [Guidelines on University-Industry Relations](#) on May 17, 1989. Following are the Guidelines:

Guideline 1: Open Academic Environment

The Administration and the Academic Senate are responsible for assuring that an open environment exists throughout the University. It is the responsibility of the campus administration, departmental faculty, and the Academic Senate to establish appropriate norms and to assure the existence of an open environment.

Guideline 2: Freedom to Publish

Freedom to publish is fundamental to the University and is a major criterion of the appropriateness of a research project.

Guideline 3: Outside Professional Activities

Faculty are encouraged to engage in appropriate outside professional activities. Responsibility rests with each faculty member to assure that such activities do not interfere with the performance of University duties.

Guideline 4: The Obligation to Avoid Conflict of Interest

Faculty may not engage in any activity that places them in a conflict of interest between their official University activities and any other interests or obligations.

Guideline 5: Disclosure Responsibilities

Principal Investigators who have a financial interest (such as equity, directorship, or consultant relationship) in any non-governmental sponsor proposing to fund their research must disclose this interest prior to acceptance of funding.

Guideline 6: Responsibility to Students

Faculty members must not allow any outside professional activities or interests to adversely affect their responsibilities to students as teachers, mentors, or supervisors of research.

Guideline 7: Patent Policy

All University employees and others who use University funds or facilities must sign patent agreements and must adhere to the [University of California Patent Policy](#).

Guideline 8: University Practice on Licensing the Use of Technology Resulting From Research

University practice permits the licensing of technology resulting from its research as long as the University retains the right to disseminate the results publicly. The principle of the right of open dissemination of research results must not be compromised.

Guideline 9: Copyright Policy

All University employees and others who use University funds or facilities must adhere to the [University Copyright Policy](#).

Guideline 10: Tangible Research Products

The University will permit the licensing of tangible research products as long as no inappropriate restrictions are placed on publication or dissemination of research results and materials.

Guideline 11: Use of University Facilities

University facilities and resources should be devoted to activities that support teaching and research and that lead to the advancement of knowledge. They should not be used for routine tasks of a commercial character. Unique or special facilities may be made available to outside users on a fee-for-use basis.

Guideline 12: Recovering Costs from Research Sponsors: Gift/Grant Distinctions

The proper distinction between gifts and grants, with the different obligations in each case, is important to the integrity of the University's sponsored research program.

Guideline 13: Organizational Arrangements

In general, it is not appropriate for the University to invest directly in enterprises when such investment is tied to the commercial development of new ideas created or advanced through University research.

1-350 GUIDANCE ON UNIVERSITY ACADEMIC POLICY

Full text copies of APM-020, *University Regulation No. 4* and the *Principles Underlying Regulation No. 4*, are reprinted in the [Faculty Handbook](#), September, 1995, Appendix, and in the *Academic Personnel Manual*, APM-020. The *Guidelines on University Industry Relations* were distributed to campus and Laboratory Contract and Grant Offices by Research Administration

[Memo. Guidance for Faculty and Other Academic Employees on Issues Related to Intellectual Property and Consulting](#) is published on the OP Office of Technology Transfer.

General academic policy questions relating to extramurally sponsored projects or programs treated by this *Manual*, including questions of appropriateness and suitability, are in the province of the Provost and Executive Vice President--Academic Affairs. The offices of the Executive Vice President—Business Operations, the Executive Vice President – Chief Financial Officer, Vice President--Agriculture and Natural Resources, and Senior Vice President--Health Sciences and Services may also be involved in issues in their areas of responsibilities.

1-400 PUBLICATION POLICY AND GUIDELINES ON RIGHTS TO RESULTS OF EXTRAMURAL PROJECTS OR PROGRAMS

1-410 POLICY

It is a long-standing University policy that freedom to publish or disseminate results is a major criterion of the appropriateness of a sponsored project, and particularly of a research project.

Normally a contract or grant is unacceptable if it limits this freedom. Examples of limitations a sponsor may attempt to impose are:

- a. assigning ownership of results to the extramural fund source;
- b. assigning the final decision as to what may be published to the extramural fund source;
- c. placing an unreasonably long or unlimited delay period on the publication or dissemination of the information resulting from the work under the project.

Chancellors, the Lawrence Berkeley National Laboratory (LBNL) Director, and Vice Presidents, in their areas of responsibility, may make exceptions to this policy, or recommend exceptions in cases where contract or grant authority has not been delegated, when one or more of the following conditions is met:

- a. The sponsor reserves first right of publication, but only if there is a provision surrendering this right to the University after a reasonable interval of time, in the event the extramural fund source has not published within that time;
- b. The statement of work is so written that the work to be done under the project or program comprises the production of a manual, book, film, videotape, or the like, and it is clear that this product is what the sponsor is "buying" from the University;
- c. Special or extraordinary circumstances prevail which do not involve censorship of the results of the project. Agency for International Development programs in foreign countries may, for example, require restrictions on the timing or character of publications, to protect the national interest. Such projects or programs should be judged on their merits in light of the reasons given by the sponsor for any restriction on publication.

If there is any doubt concerning an exception in a particular case, it should be resolved either by refusing to accept an award containing a restrictive clause, or by referring the problem to the Office of the President for resolution. Any proposed restriction on freedom to publish or disseminate results based on national security considerations must be approved by the Office of the President.

1-420 *PRESIDENTIAL POLICY STATEMENT ON RESTRICTIONS ON RIGHTS TO PUBLISH OR DISSEMINATE INFORMATION RESULTING FROM WORK UNDER SPONSORED PROJECTS*

In memoranda dated August 3, 1970 to Chancellors, Subject: [Restrictions on Rights to Publish](#) or Disseminate Information Resulting from Work under Sponsored Projects, the President issued the following clarification of the publication policy:

A long-standing University policy...states that "freedom to publish results is a major criterion of the appropriateness of a research project."...Chancellors, Vice Presidents, and the University Dean of University Extension...make exceptions to this policy under conditions, one of which is stated...as being when *special* or *extraordinary* circumstances prevail *which do not involve censorship of the results of the project* (emphasis added).

Recently the U.S. Department of Interior has refused to allow the University to release the results of a study contract, basing the decision on a restrictive "Rights in Data" clause, incorporated into the contract. Thus the University has been denied the right to reveal the results of the work performed. The acceptance of the restrictive clause by the campus, and the subsequent refusal by the Department of Interior to release the information is inconsistent with the University's duties as the principal research agency of the State of California.

The exception authorized in [the Contract and Grant Manual] is not intended to authorize the acceptance of grants or the execution of contracts which give the sponsoring agency the right to prevent, for an unreasonable or unlimited time, the release for publication in the open literature, or the release in some other manner, of the results of the work performed. Thus, the Department of Interior "Rights in Data" Article which requires approval by the Project Officer before any information can be disseminated or published is unacceptable, and any clause like it from any other agency is also unacceptable, unless there is a strong overriding reason, acceptable to the University, why the information in the report must be sequestered.

If there is any doubt in a particular case, the doubt should be resolved either by refusing to accept such a restrictive clause or by referring such cases to the President for resolution.

1-430 *ACADEMIC SENATE RESOLUTION ON FREEDOM TO PUBLISH RESEARCH RESULTS*

The following resolution was approved by the Legislative Assembly, Academic Senate, Southern Section, April 30, 1962, and by the representative Assembly, Academic Senate, Northern Section, May 22, 1962:

Whereas, the freedom of the investigator to disseminate the results of his research is a vital part of academic freedom, and is a traditional right of scholars.

Be it resolved that: The Academic Senate affirms the right of all persons with academic appointments, except registered students, to make public the results of their research, whether orally or in writing, free from direct or indirect restraint or censorship by any representative of the University.

With regard to a staff member's obligation concerning copyrights, it is University policy that a copyright is the property of the individual author unless the work has been produced under specific contractual obligations to the contrary. Unless there are such obligations, the author is free to do with his writings as he wishes.

1-440 [APM-010 ACADEMIC FREEDOM](#)

Academic Personnel Manual APM-010, [Academic Freedom](#), reiterates the University's commitment "to upholding and preserving principles of academic freedom." These principles include "freedom of inquiry and research, freedom of teaching, and freedom of expression and publication."

1-500 PRINCIPAL INVESTIGATOR GUIDELINES

1-510 *SOLICITATION AUTHORITY*

No solicitation or application for extramural support of research, training, or public service programs or projects shall be made officially in the name of the University without the prior approval of The Board of Regents or of an authorized Officer or official of the University, as set forth in [Chapter 13, Legal Authorities and Principles](#), of this *Manual*. This approval should be based on a review of an adequately prepared written proposal, submitted by an individual authorized to do so in accordance with the following sections 1-520 and 1-530.

University officials empowered to approve proposals for research, training or development contracts or grants may authorize investigators to make informal approaches to extramural funding agencies for the purpose of determining whether preparation of a formal, written proposal for a specific project is warranted, providing that preliminary estimates of the full cost of the project (including employee benefits and indirect costs) have been made, and the project is otherwise in accord with University policy.

1-520 *LEADERSHIP OF A SPONSORED PROJECT*

An essential qualification of the individual who proposes to head an extramurally supported research, training, or public service project is that he or she will *personally participate* in it to a

significant degree. It is contrary to University policy, and is viewed with extreme disfavor by sponsoring agencies, to list as head of a project the name of an individual, however prestigious that person may be, who will contribute only a minimum or nominal portion of their own time and effort to the furtherance of the work. Within this basic qualification:

- a. The head of a research project is called a Principal Investigator. On occasion, he or she may have one or more Co-Principal Investigators who share with him or her responsibility for participatory conduct of the project.
- b. The head of a training or public service project may be also be called a Project Administrator or Project Director.
- c. The head of a program involving more than one project may be also be called a Program Administrator.

1-530 *WHO MAY SUBMIT PROPOSALS*

A research project proposal may be submitted only by academic appointees (singly or jointly) who will personally participate in the project in a significant manner and also serve as the Principal Investigators. A training project proposal may be submitted only by an academic appointee who will personally participate in the project and also serve as the Project Director or Administrator. A proposal for a research, training or public service program involving more than one project may be submitted only by an academic appointee who will personally participate in the projects and also serve as the Program Administrator.

a. Academic appointees in the following title groups are eligible to submit proposals for research or training contracts or grants, subject to conditions, restrictions, and review procedures which may be established by a Chancellor, the Vice-President--Agriculture and Natural Resources, or the Dean of University Extension after he or she has obtained advice from the appropriate committees of the Academic Senate. Such conditions, restrictions, and review procedures shall include considerations of educational policy and academic, fiscal, and physical planning. Furthermore, a Chancellor may restrict the privilege to submit proposals, by personnel not members of the Academic Senate and not appointees in the Agronomist series, to those individuals for whom special justification has been established. Those who submit proposals should be encouraged to plan the projects to be educationally and financially helpful to students whenever possible. Projects which interfere with the regular instructional and research responsibilities of the University shall not be accepted.

1. [Members of the Academic Senate](#), including emeriti.
2. Appointees in the Agronomist series, including emeriti.
3. Appointees at 50 percent or more of full time in the Adjunct Professor series.
4. Appointees at 50 percent or more of full time in the Health Sciences Clinical Professor series.

5. Appointees at 50 percent or more of full time in the Professional Research series.
6. Appointees at 50 percent or more of full time in the Specialists in Cooperative Extension series.
 - b. Upon receipt of the approval of the appropriate officer (Chancellor, Vice President--Agriculture and Natural Resources, Dean of University Extension), a person holding appointment in one of the following title groups may submit a proposal for a training or training-related research contract or grant.
 1. Supervisor of Physical Education series.
 2. Cooperative Extension Advisor series.
 3. Continuing Educators series.
 - c. By exception, Chancellors, Vice Presidents, or the Dean of University Extension may approve the submission of a contract or grant proposal by other appointees in special circumstances when such action is in the best interest of the University, and provided that space and facilities can be assigned without detriment to the regular instructional and research responsibilities of the University. In such cases, a written explanation of the approval should be included in the project file as a matter of record.

1-600 POLICY ON FACULTY CONDUCT

The University's Faculty Code of Conduct is published in the *Academic Personnel Manual*, [APM -015](#). The Code addresses the "Professional Rights, Responsibilities, and Conduct of University Faculty, and University Disciplinary Procedures." The purpose of this Code is to "protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning."

The Faculty Code of Conduct is divided into three parts. Part I, entitled Professional Rights of Faculty, sets forth the "responsibility of the University to maintain conditions and rights supportive of the faculty's pursuit of the University's central functions." Part II, Professional Responsibilities, Ethical Principles, and Unacceptable Faculty Conduct, provides a "listing of faculty responsibilities, ethical principles, and types of unacceptable behavior." Part III, entitled Enforcement and Sanctions, addresses "the enforcement process applicable to unacceptable faculty behavior."

APM-016, University Policy on Faculty Conduct and the Administration of Discipline, sets forth the "University policy on faculty conduct and the administration of discipline." Section I is the introduction and general policy. Section II sets forth the types of disciplinary sanctions which can be imposed on a faculty member. The Procedures for Imposition of Disciplinary Sanction are in Section III.

These policies are accepted as Regent Policy in the [Regents Policy 7401: The Faculty Code of Conduct and the Policy on Faculty Conduct and the Administration of Discipline](#). They are also incorporated in the *Manual of the Academic Senate* as [Appendix IV](#).

1-700 COMPENSATION FOR SERVICES AND CONSULTING

University policies on compensated and uncompensated outside professional and non-professional activities as well as additional compensation for consultant services on projects conducted under the auspices of the University are set forth in various sections of the *Academic Personnel Manual*. [APM-025, Conflict of Commitment and Outside Activities of Faculty Members](#), provides policy on both compensated and uncompensated outside professional and non-professional activities as well as specific guidelines designed to address potential conflicts of commitment arising from such outside activities.

The policy and guidance provided in APM 025 provide the implementation for [The Regents' Standing Order 103.1\(b\)](#):

No one in the service of the University shall devote to private purposes any portion of time due to the University nor shall any outside employment interfere with the performance of University duties. Arrangements for private employment by Officers, faculty members, or other employees of the University shall be subject to such regulations as the President may establish.

APM 025-50, Guidance for Involving Students in the Outside Professional Activities of Faculty, provides the guidelines under which a faculty member may involve students in outside professional activities. Appendix B provides the prior approval form for Compensated Outside Professional Activities (Category I) or for Involving Students in Outside Professional Activities. Appendix C provides the form for reporting Category I and II Compensated Outside Professional Activities and Additional Teaching Activities for the Fiscal Year.

APM 660 through 670 provide additional policies and guidance on specific additional compensation situations. [APM-660, Additional Compensation/General](#), sets forth the University's general policy and limitations on additional compensation. [APM-661, Additional Compensation/Summer Session Teaching](#), [APM-662, Additional Compensation/Additional Teaching](#), and [APM-663, Additional Compensation/University Extension Correspondence Courses](#), provide information on additional compensation for additional teaching.

[APM-664, Additional Compensation/Services as Faculty Consultant](#), describes the circumstances under which a faculty member may receive additional compensation for consulting on a University project or an extramural funded project. [APM 665-Additional Compensation/Reading Manuscripts](#) discusses additional payments for reading or judging manuscripts for University Press. [APM 666-Additional Compensation/Lectures and Similar Services](#) describes additional compensation for lectures, seminars or creative performances.

[APM 670, Health Sciences Compensation Plan and Guidelines on Occasional Outside Activities by Health Sciences Compensation Plan Participants](#), sets for the University's uniform Health Sciences Compensation Plan which governs compensation arrangements and accounts for

compensation plan income to the University's Schools of Medicine, Dentistry, Nursing, Pharmacy, and other health sciences units.

1-800 CONFLICT OF INTEREST

[Business and Finance Bulletin G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest](#), provides a comprehensive listing of the policies, guidelines and procedures applicable to conflict of interest disclosure requirements and issues. Each policy is summarized and a link to the full text of each item is provided.

Conflict of Interest issues and questions may arise in a variety of relationships including receipt of extramural (sponsored) awards and acceptance of gifts, hiring of employees, outside activities, patent and licensing relationships, and purchases of goods and services including consultant agreements. Specifically in relation to sponsored projects, University policies on Academic Conflict of Interest or Commitment Related to Sponsored Research are provided by OP Research Policy Analysis and Coordination (RPAC) on its [Policies and Guidance webpage](#). Financial disclosure requirements under State or federal regulations are described in this [Manual's Chapter 2-582](#).

1-900 RELATIONS WITH STATE AND FEDERAL OFFICIALS

The basic principle of the University [Policy on Relations of University Staff Members with State and Federal Officials](#) is that

Individual members or groups of members of the staff of the University shall not unless they are specifically authorized by the President act or give the appearance of acting on behalf of the University when communicating with State or Federal governmental officials concerning policies or legislation relating to the University.

The policy applies to official representation of the University, clarifying that it does not apply to “informal discussions” or the expression of “personal views.” The policy describes the appropriate channels to follow when representing the University with either State or federal elected officials or officers, invitations to speak to elected officials, discussing legislation or policy, or serving on boards or commissions. Any such official visits or communications should be coordinated with the University's [State or Federal Government Relations Office](#) as applicable.

The University's [Lobbying and Gift Rules: Overview and Guidelines](#) reiterates the policy on contacting State or federal elected and agency officials with additional information on the California Political Reform Act, the federal law defining “lobbying,” and the disclosure requirements for such lobbying. The University's [Lobbying Disclosure Policy](#) describes the requirements of the federal Lobbying Disclosure Act of 1995, provides background and guidelines and information on reporting requirements.

Certifications requiring disclosure of any lobbying activities, as defined, in soliciting or accepting federal or State funded extramural awards can be required in such proposal or award

documents. Guidance on such certifications is provided on the RPAC webpage, [Lists of Certifications Related to Federal Contracts and Grants](#), under [Lobbying](#). Additional guidance is provided in [RPAC Operating Guidance Memos](#).

1-1000 RELATIONS WITH STUDENTS

[APM-010, Academic Freedom](#), provides the statement of the University's principles with regard to academic freedom and student scholarly inquiry. Student freedom of scholarly inquiry is derived from and protected by faculty academic freedom. It also carries the same responsibilities. With regard to students' participation in research, APM-010 states that "Students' freedom of inquiry while conducting research may not be abridged by decisions contrary to accepted scholarly and professional standards."

In addition, APM-015, [The Faculty Code of Conduct](#), describes the responsibilities of the faculty in relation to students. It sets forth standards of professional responsibilities, ethical principles, and unacceptable faculty conduct in relation to students.

[APM-025, Conflict of Commitment and Outside Activities of Faculty Members](#), provides general guidance for involving students in faculty outside professional activities. (APM-025-50.) Prior approval is required when involving students in outside professional activities.

1-9999 RELATED UNIVERSITY REFERENCES

- [Academic Personnel Manual, APM 660-690, Salary Administration](#)
- [By-Laws of The Regents of the University of California](#), M Section 10.1, Standing Committees, and Section 12.2, Responsibilities of Standing Committees, Committee on Educational Policy
- [Business and Finance Bulletin G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest](#)
- [Resolution on University Research](#), Approved by The Regents on July 17, 1970
- [Standing Orders of The Regents of the University of California](#), Section 100.4, Duties of the President, and Section 105.1, Organization of the Academic Senate
- [Bylaws of the Academic Senate](#)
- *Academic Personnel Manual*, [APM-020](#), (formerly University Regulation No. 4) Special Services to Individuals and Organizations, and Principles Underlying Regulation No. 4 June 23, 1958. (Reprinted in the *Faculty Handbook*, Appendix, p. 52)
- Privileges and Duties of Members of the Faculty, February 15, 1935. (Reprinted in the [Faculty Handbook](#), Appendix, p. 45, and the Academic Personnel Manual, [APM-005](#))
- [Faculty Handbook](#)
- [Guidance for Faculty and Other Academic Employees on Issues Related to Intellectual Property and Consulting](#)
- [Guidelines on University-Industry Relations](#), Office of the President, May 17, 1989 (Full text distributed by Contract and Grant Memo)
- [Memorandum dated August 3, 1970 from the President to Chancellors](#), Subject: *Restrictions on Rights to Publish or Disseminate Information Resulting from Works Under Sponsored Projects*

- Academic Senate Resolution on Freedom to Publish Research Results (1962)
- [University of California Patent Policy](#)
- [University Copyright Policy](#)