



CHARLES R. DREW UNIVERSITY OF MEDICINE AND SCIENCE Office of Sponsored Programs

Eligibility to Submit Proposals for Extramural Support

I. Policy

A. 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 an authorized officer or official of the University. This review should be based on an adequately prepared written proposal, submitted by an individual authorized to do so as stated below.

B. Academic Policy

A research proposal may be submitted only by academic appointees (singly or jointly) who will personally direct the research effort and also serve as the Principal Investigator or Co-Investigator. (Note: Not all funding agencies allow Co-Investigators).

A proposal for a training or public service may be submitted only by an academic appointee who will personally direct the project to a significant degree and also serve as the project director. A proposal for a research, training or public service program involving numerous programs may be submitted only by an academic appointee who will personally oversee the programs in his/her capacity as the program director.

A director of a sub-project of a multi-unit program must qualify by academic appointment.

Whenever a form or other document calls for the use of a University employee's title in any official way, the correct payroll title must be used. Therefore, since proposals are official University documents, the academic appointee's title must be given in full. For example, Adjunct Professor, Assistant Professor or Associate Professor, etc., may not be designated solely as a "Professor". Titles of research appointees should specify Research Scientist or Project Scientist etc. In addition, the proper payroll title must also be used for staff employees. If an employee has a different working title, that title may be shown in addition to the payroll title.

In addition, when referring to an individual in charge of a particular department, division etc., the proper title, as it specifically related to the academic unit or departmental (or equivalent) sub-unit, should be used: e.g. Professor John H. Doe,

Chair, Department of Surgery, or Associate Professor, Jane L. Smith, M.D., Head, Division of Physiology.

II. ELIGIBLE APPOINTEES AND EXCEPTIONS

On or before the start date of a proposed project, the Principal Investigator and, if applicable, the Co-Investigator(s) must have formally accepted an appointment at the University in an eligible title, or qualify by exception approved by the Executive Vice President for Research and Health Affairs as noted below.

A. Eligible Academic Appointees

Academic appointees who currently hold a title in the following groups are automatically eligible by virtue of appointment to submit proposals for extramural support of research, training or public service contracts or grants, subject to conditions, restrictions, and review procedures established by the University:

- 1) Members of the Academic Senate:
 - Career Academic – all ranks
 - Adjunct Academic – all ranks
 - Clinical – all ranks

B. Exceptions

By exception, the Executive Vice President for Research and Health Affairs may approve the submission of a grant or contract proposal by other appointees or candidates for appointments, in special circumstances when the individual is highly qualified, 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 research, instructional and public service responsibilities of the University.

Previous approval of an exception of the principal investigator status is not a guarantee of approval of subsequent requests for exceptions. An exception is required for renewal of an existing project for which an exception was originally required and the PI still does not have a qualified title.

Listed below are appointment series which require exceptions. Questions regarding qualifications of Principal Investigators should be referred to the Executive Vice President for Research & Health Affairs and/or the Office of Sponsored Programs.

- 1) Staff (Administrators/Coordinators)
- 2) Postdoctoral Fellow
- 3) Research Associate
- 4) Lecturer
- 5) Resident
- 6) Undergraduate/Graduate Students
- 7) Visiting

“Visiting” appointments are normally for short-term periods up to one or two years and are subject to annual reappointment. Therefore, appointees to Visiting titles should

submit proposals for a period of support that coincides with their current term of appointment. If the proposal end date exceeds the end date of the Visiting appointee's current appointment, the proposal should stipulate, by name, a qualifying Co-Principal Investigator who is willing and able to assume the functions as the Principal Investigator and devote adequate time to head the work should the Visiting appointee sever connections with the University prior to the proposal termination.

C. Exceptions

To request an exception, a written justification must be submitted by the Executive Vice President for Research & Health Affairs. In order to insure timely review and final decision, requests should be received **ten (10) business days** prior to the agency due date for proposal submittal. The written justification must include the PI Exception Form and a current curriculum vitae or bibliography

Gifts: Activities supported by a donor that are **generally not** considered grants and can be processed as *gifts* may include the following characteristics:

- Award provides support for broadly defined activities, such as professorships, endowments, building projects, instructional programs, and unrestricted research. The donor may restrict the use of funds to a specific program area or purpose.
- Award contains only minimal requirements, generally relating to required donor pledge payments and the University's commitment to effectuate the donor's intent.
- Award requires only minimal reporting to the sponsor donor in the form of a general statement of how funds were used. The unit or faculty member involved may provide the donor with a brief summary of the results of supported activities and/or a statement that expenditures were made in accord with the intent to the gift.
- Award is irrevocable

Procedure:

All projects determined to be a grants must be processed through the Office of Sponsored Programs. Activities supported by a donor that are generally not considered grants can be processed as gifts to the University.

Questions regarding whether a proposal or an award is a gift or a grant should be directed to the Office of Sponsored Programs (OSP) or Office of Development. OSP and the Office of Development will work together to determine a project's classification when there is a question about how it should be processed. Cases needing further clarification will be brought before a review committee composed of senior representatives from the OSP, Development, Finance and the Vice President for Research.