



UC San Diego

Policy & Procedure Manual

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CONTRACTS AND GRANT (RESEARCH)

Section: 150-10

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ELIGIBILITY TO SUBMIT PROPOSALS FOR EXTRAMURALSUPPORT

I. REFERENCES

- A. [Bylaws](#) and [Standing Orders](#) of The Regents of the University of California
- B. [University of California Contract and Grant Manual](#)
- C. [Academic Personnel Manual](#)

II. POLICY

``To accomplish its aims of providing higher education, advancing knowledge, and contributing to the welfare of the State, the University accepts funds and enters into agreements for research undertakings only when (1) such undertakings provide its faculty members with the opportunity to gain experience and knowledge of value for their teaching and research, and (2) the projects are suitable for the University because the involved faculty members may make worthy contributions to knowledge, in conjunction with students whenever that is possible, or because appropriate public service is performed." (Refer to [Reference B, Section II.](#))

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 The Board of Regents or of an authorized officer or official of the University (refer to [Reference A, Section 100.4](#)). This approval should be based on the review of 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-Principal Investigator. (Note: Not all funding agencies allow Co-Principal Investigators.)

A proposal for a training or public service project may be submitted only by an academic appointee who will personally direct the project to a significant degree and also serve as the project administrator. 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 administrator.

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

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 he/she may be, who will contribute only a minimum or nominal portion of his/her own time and effort to the furtherance of the work.

C. Use of Correct Titles for Academic and Staff Personnel

Whenever a form or other document calls for use of a University of California 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, a Visiting Professor, Adjunct Professor, Assistant or Associate Professor-In Residence, etc., may not be designated solely as a "Professor." Titles of research appointees should specify Research Scientist or Project Scientist. 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 relates to the academic unit or departmental (or equivalent) sub-unit, should be used; e.g., Professor John H. Doe, Chair, Department of Astronomy, or Professor of Medicine-In Residence Frank R. Smith, M.D., Head, Division of Physiology.

III. ELIGIBLE APPOINTEES AND EXCEPTIONS

On or before the start date of a proposed project, the Principal Investigator and, if applicable, the Co-principal Investigator(s) must have formally accepted an appointment at UCSD in an eligible title, or qualify by exception approved by the Vice Chancellor for Research as noted below. A *Summary of Eligibility Status* is included as [Exhibit A](#).

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 Chancellor:

1. Members of the Academic Senate: Professor - all ranks
Professor in Residence - all ranks
Professor of Clinical X - all ranks but instructor
Research Professor
Professor Emeritus - all ranks
Senior Lecturer and Lecturer with Security of Employment
Acting Professor and Acting Associate Professor (but not Acting Assistant Professor)
University Librarian (but no other librarians)
Registrar and Chief Admissions Officer
Vice Chancellor
Chancellor
2. Salaried appointees in the Adjunct Professor series, with the exception of the Instructor rank.
3. Appointees salaried at 50% or more of full time in the Clinical Professor series, with the exception of the Instructor rank.

Note: The source of salary support for 2 & 3 above may be state, extramural or other departmental funds.

4. Appointees in the Research Scientist/Scholar series.

At SIO, a review is required to increase the percentage of appointment of Research Scientists because of the commitment of institutional resources to Research Scientists.

5. Assistant, Associate and full Project Scientists/Scholars on the General Campus and School of Medicine may serve as co-PI with professorial and research scientist appointees.

Note: An appointee who qualifies from another UC campus may be named as a Co-Principal Investigator on a UCSD proposal.

An individual for whom a department proposes an appointment in one of the above series (1-4) requires a request for an exception prior to appointment, which normally is approved by the Vice Chancellor for Research. If the individual has accepted the appointment in writing, no PI exception is required.

B. Exceptions

By exception, the Vice Chancellor for Research may approve the submission of a contract or grant 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.

If the request for PI exception is for more than one proposal, a page should be added showing for each proposal the UCSD number, agency, agency due date, proposal title, percent of salary from proposal, proposal period, and amount requested.

Previous approval of an exception of principal investigator status is not a prima facie 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 offices of the Vice Chancellor for Research, Dean-School of Medicine, or Vice Chancellor-Marine Sciences.

1. Academic Administrator/Coordinator
2. Acting Assistant Professor
3. Adjunct Instructor and Clinical Instructor
4. Adjunct Professor - Non-salaried
5. Clinical Professor - Non-salaried or salaried less than 50%
6. Project Scientist

Individuals in this series must request an exception to serve as sole PI on the General Campus and in the School of Medicine. At SIO, Project Scientists' requests for exceptions to act as co-PI with a qualified PI normally are endorsed. Specific justification is required for a Project Scientist to serve as a sole PI. If the project period exceeds the SIO maximum six-year appointment period, the appointment end date must be shown on the proposal and plans for

future disposition of the funds must be explained.

Demonstrated strong potential for conducting independent research is required for these appointees in order to qualify for an exception.

7. Specialist
8. Postgraduate Research (e.g., Physicist) or Postdoctoral Fellow

At SIO, specific justification is needed when a proposal requests more than 50% of annual salary; normally, a PGR may not obtain more than 50% of salary from proposals on which she/he is sole PI.

On the General Campus and in the School of Medicine, requests for PI status for PGRs are routinely granted if the requests propose a change to the Assistant Research Scientist/Scholar or Assistant Project Scientist/Scholar title on or before the start date of the grant and if the individual has demonstrated strong potential for performing independent research. Requests for a PGR to serve as a PI while remaining in the PGR title are rarely granted.

9. Research Associate
10. Research Fellow
11. Lecturer, Senior Lecturer—without Security of Employment (SOE)
12. Supervisor of Teacher Education
13. Continuing Education Specialist

A person holding an appointment in this series may submit a proposal for a training or training-related research contract or grant only.

14. Staff
15. Resident
16. Undergraduate/Graduate students
17. Visiting _____

"Visiting" appointments are normally for short-term periods of 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 date.

C. Procedure for Exception

To request an exception, a written justification must be submitted by the Department Chair or ORU Director via the Dean, School of Medicine, or Vice Chancellor-Marine Sciences (if appropriate), to the Vice Chancellor for Research for approval. In order to insure timely review and final decision, requests should be received in the appropriate Vice Chancellor's or Dean's office ten **(10) business days** prior to the agency due date for proposal submittal. The written justification must include the information outlined in

[Exhibit B](#) and a current curriculum vitae or bio-bibliography. A full-sized copy of the form may be requested by e-mailing aafsahi@ucsd.edu.

IV. RESPONSIBILITIES

A. Department

Comply with eligibility requirements for submission of proposals for extramural support, coordinate exception procedure, and prepare the written requests with documented justification.

Assure that adequate salary support is requested commensurate with effort proposed, if applicable

B. Office of Contract and Grant Administration

Verify that Principal Investigator is eligible of that exception has been approved prior to proposal submittal.

C. Dean-School of Medicine and Vice Chancellor-Marine Sciences

Review requests for exception, insure completeness and compliance with policy, and forward a recommendation to the Vice Chancellor-Research five (5) days prior to the agency due date.

D. Vice Chancellor for Research

Review and make final decision on *Requests for Exception*. Forward notification of approval to the Department, Dean/Vice Chancellor, and OCGA.



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EXHIBIT A

SUMMARY OF ELIGIBILITY STATUS

ACADEMIC ADMINISTRATOR/COORDINATOR EXCEPTION ACADEMIC SENATE

MEMBER	QUALIFIED
ACTING ASSISTANT PROFESSOR	EXCEPTION – Not a member of the Academic Senate; appointment limited to two years.
ADJUNCT PROFESSOR	QUALIFIED – if salaried, with the exception of the Instructor rank.
CLINICAL PROFESSOR	QUALIFIED – if salaried at 50% or more of full-time, with the exception of the instructor rank
CONTINUING EDUCATION SPECIALIST	(UNEX): EXCEPTION – May submit proposal for training or training-related research only
INSTRUCTOR	EXCEPTION
LECTURER & SENIOR LECTURER	EXCEPTION
NEW APPOINTMENT	EXCEPTION – IF P.I. or Co-P.I. has not formally accepted an appointment at UCSD in an eligible title. Note: For proposal submittal purposes, insert “pending” after title on signature page, and in each location where the title is required, when appointment paperwork is in process of appointment period has not begun. “To be proposed” must appear after each insertion of the title when appointment is contemplated but paperwork has not reached the Dean’s/Director’s office.
POSTGRADUATE RESEARCH/POSTDOC FELLOW	EXCEPTION
PROJECT SCIENTIST/SCHOLAR	QUALIFIED – As Co-P.I. on General Campus and SOM EXCEPTION – As sole P.I. on General Campus and SOM; as sole or Co-P.I. at SIO
RESEARCH SCIENTIST/SCHOLAR	QUALIFIED
RESEARCH ASSOCIATE	EXCEPTION
RESEARCH FELLOW	EXCEPTION
RESIDENT	EXCEPTION
SPECIALIST	EXCEPTION
STAFF TITLES	EXCEPTION
STUDENTS (UNDERGRADUATE/GRADUATE)	EXCEPTION
VISITING APPOINTEES	EXCEPTION
OTHER UC CAMPUS	QUALIFIED – P.I. from another UC campus who qualifies may be named as a Co-P.I.

NOTE: None of the Professorial Series (i.e., Professors, Acting, Adjunct, In-Residence, Clinical X, or

University of California, San Diego Policy – PPM 150 – 10 Exhibit A
PPM 150 – 10 Eligibility to Submit Proposals for Extramural Support

Visiting Professors) should be paid 100% from extramural research support unless approved by funding agency, as it is University policy that a portion of their time be devoted to teaching, which normally requires University funds.



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EXHIBIT B

REQUEST FOR EXCEPTION TO SUBMIT PROPOSAL FOR EXTRAMURAL SUPPORT

Request must be submitted to the appropriate Vice Chancellor or Dean ten (10) working days prior to agency due date. SOLE PI CO-PI
with STUDENT STAFF

Present payroll Title: _____ % Time: _____ Effective Dates: _____

Proposed payroll Title: _____ % Time: _____ Effective Dates: _____

% Salary on Proposal: _____ % Effort on Proposal: _____ Period to be Paid from Proposal: _____

Agency: _____ Agency Due Date: _____

UCSD #: _____ Proposal Title: _____

Proposal Period : Begin Date: _____ End Date: _____ Proposal Amount: _____

PLEASE ATTACH A CURRICULUM VITAE OR BIO-BIBLIOGRAPHY, A TWO TO THREE SENTENCE DESCRIPTION OF THE PROPOSED RESEARCH, AND THE DEPARTMENT'S RESPONSES TO THE FOLLOWING QUESTIONS IN SEQUENCE:

1. How will the project or program contribute to the "basic academic plan" and/or research programs of the department or organized research unit?
2. What are the qualifications of the individual to undertake the proposed project or program? If the proposed PI is a project scientist, discuss his/her demonstrated strong potential for conducting independent research. If sole-PI status is requested, state why no regular faculty or research scientist is to act as co-PI with the applicant.
3. What are the unit's plans for future appointment status of the individual through the end date of the proposed grant period and afterwards?
4. Does adequate space for project exist within the unit for the duration of the project?
5. What fund sources are budgeted to provide the balance of the person's salary when less than 100% salary is requested in the proposal?
6. What fund source will provide support services; e.g., secretarial support, supplies, duplication, telephones?
7. If proposed project or program is not funded, what are the future plans for individual requesting this exception to policy?

University of California, San Diego Policy – PPM 150 – 10 Exhibit B
PPM 150 – 10 Eligibility to Submit Proposals for Extramural Support

I understand the approval of this exception to policy does not imply that the University will extend or increase my current appointment period, nor does it obligate the University to do so.

Signature of Proposed PI / Date

Name / Extension

Email Address / Mail Code

APPROVALS

Department Chair/ORU Director / Date

Vice Chancellor-Marine Sciences / Date
or Dean-School of Medicine

Vice Chancellor for Research / Date

CONDITION:

___ Approval is contingent upon appointment to the proposed title and favorable endorsement by the Affirmative Action Coordinator