

UC Davis Policy and Procedure Manual

Chapter 230, Sponsored Research

Section 02, Eligibility to Undertake Sponsored Research

Date: 4/22/16

Supersedes: 1/14/11

Responsible Department: Office of Research

Source Document: [Contract and Grants Manual Section 1-500, Principal Investigator Guidelines](#)

I. Purpose

This section describes eligibility requirements to solicit or to undertake sponsored research programs, and the procedures for requesting special consideration or exceptions.

II. Solicitation Authority

- A. Prior approval of The Regents or an authorized officer of the University is required for all official solicitation for extramural support made in the name of the University of California for the purpose of research, training, or public service programs or projects.
- B. At UC Davis, the Chancellor has delegated such authority to the individuals, and within the limitations, set forth by [DA 2569](#). (See also Sections [230-01](#) and [260-15](#) regarding private support of research and solicitation and acceptance of gifts.)

III. Regular Eligibility

A research, training, or public service project proposal may be submitted by eligible academic appointees (individually or jointly) who will participate in a significant manner and serve as principal investigator. Those eligible are:

- A. Members of the Academic Senate, including emeriti.
- B. Appointees in the Agronomist series, including emeriti.
- C. Appointees in the Adjunct Professor series at 50% or more of full time.
- D. Appointees in the Clinical Professor series at 50% or more of full time.
- E. Non-postdoc appointees in the Professional Research series at 50% or more of full time.
- F. Appointees in the Cooperative Extension Specialist series at 50% or more of full time.
- G. A combination of any of the above appointments that total 50% or more of full time.

IV. Eligibility by Special Request

Certain otherwise ineligible individuals may become eligible to submit proposals for research, training, or training-related research as a principal investigator with the approval of the Vice Chancellor--Research. Written requests must justify the need for the individual to be named principal investigator and require the endorsement of the department chair and also the endorsement of the appropriate dean/vice chancellor in those units that require a dean/vice chancellor signature. Those who may submit requests are:

- A. Supervisors in Physical Education.
- B. Cooperative Extension Advisor series.
- C. University Extension Specialist series.

V. Eligibility by Exception

- A. The Vice Chancellor--Research, or Director of Sponsored Programs, as his/her designee, may approve, on an exceptional basis, the submission of a contract or grant proposal by other University employees, including students and postdoctoral fellows, 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 (see V.C, below).

- B. A written explanation of the approval should be included in the project file as a matter of record.
- C. Requests must be submitted using the Request for Exception to Policy on Eligibility to Submit Proposals form.
 - 1. Each request requires endorsement as detailed on the form including verification/representation by the department chair, verifying that space and facilities can be assigned for such projects without detriment to the regular instructional and research responsibilities of the University.
 - 2. Some schools/colleges also require endorsement of the Dean, as shown on the form.
 - 3. The department chair is responsible for ensuring that these employees have the appropriate training and research skills required to carry out the project and serve as Principal Investigator.

VI. References

- A. Office of the President:
 - 1. [DA 2569](#), Delegation of Authority—To Solicit and Accept or Execute Certain Extramural Grants and Contracts.
 - 2. [Contract and Grants Manual Section 1-500](#) (Principal Investigator Guidelines; Who may Submit Proposals).
- B. UC Davis Policy & Procedure Manual:
 - 1. [Section 230-01, Private Support of Research.](#)
 - 2. [Section 260-15, Solicitation and Acceptance of Private Support.](#)