

# UO Policy on Eligibility for the Submission of Extramural Support Proposals and Procedures for Obtaining Exceptions

*Please note these procedures are applicable to research AND all other university activities for which individuals seek extramural support such as curricular or public service type activities.*

## Automatic Eligibility

Principal Investigator (PI) status is automatically conferred on those who hold a tenure-track or tenured position and those who hold the title senior research associate. Retired faculty who would have qualified as a PI prior to retirement are eligible to act as PI.

## Exceptions

Exceptions may be granted for those who do not meet the above automatic eligibility requirements. Authority to grant exceptions is vested in the Vice President for Research and Graduate Studies or designee. Exceptions to the policy will be considered for UO employees (research and non research titles), postdoctoral researchers, matriculated students of the UO, or faculty with academic titles such as courtesy, visiting or adjunct.

Officers of administration and staff must request PI or Co-PI status as described below to pursue a grant or contract for external funding for programs or other activities that run through the Office of Research Services and Administration (ORSA), unless the issue was explicitly addressed in their hiring paperwork and cleared with the Vice President's office at the time of hire.

## Exceptions may take the following forms

**Project-limited authorization:** The individual is granted PI or Co-PI status for only the project(s) immediately being considered. Authorization is for the term of the grant. It is the department's responsibility to inform the Office of Research Administration and Services (ORSA) if the individual leaves the university prior to the end of the grant.

**Time-limited Authorization:** The individual is granted PI or Co-PI status for all proposals submitted during a specified time frame (1 year, 3 years, 5 years, etc.) to be decided by the Vice President for Research. This type of authorization is approved infrequently and only to those who have seniority at the university or hired specifically to carry out externally funded research.

## What to include in the request for an exception

**Requests for an exception must come from a Dean, Department Head, or Center/Institute/Museum Director. Requests for consideration of an exception should be made at least 5 days prior to the deadline for the grant submission.** The request for an exception must include the name of the individual seeking PI or Co-PI status, title, project title, granting agency and brief justification for PI status. A current resume for the applicant should be included (unless a similar request has been made in the previous 2 years). As relevant, the following information should be included in the justification section:

- a) Evidence that the individual is clearly able to meet the conditions of the specific award;
- b) Confirmation that the individual is likely to remain at the university for the full term of the grant;

- c) Note if the primary purpose of the individual's position is to secure external funding for research or service related to University activities;
- d) Confirmation that the individual has demonstrated the ability to carry out the responsibility of a PI including:
  - 1. Meeting stated programmatic objectives; and
  - 2. Administrative management of projects (i.e. financial and personnel management as relevant).
- e) Confirmation that the individual has had conflict of interest training and filled out any relevant disclosure forms.
  - 1. If not done in the last 12 months, individual is still eligible for PI or Co-PI status, but will be expected to attend the next training session made available.
  - 2. The Office for Responsible Conduct for Research will be forwarded the individual's name and will follow up with training information.

## Quick list for preparing your electronic exception request

### **The exception request must come from a Dean, Department Head, or Center/Institute/Museum Director.**

They may send it via email (kiltie@uoregon.edu) or via interoffice mail (204 Johnson Hall). Email requests with attached CV are strongly preferred. **Requests for consideration of an exception should be made at least 5 days prior to the deadline for the grant submission.** Decisions are typically made between two to five days after the request is submitted. Decisions are sent to the requestor and appropriate contacts at the Office of Research Services and Administration. A file of all exceptions granted is kept in the Office of the Vice President for Research and the Office of Research Services and Administration.

1. Requests emailed to kiltie@uoregon.edu, will only be recognized if the sender is a Dean, Department Head, or Center/Institute/Museum Director.
2. In the Subject line of the email, write PI-Status Exception Request (or Co-PI Status Exception Request).
3. In the body of the email, provide:
  - a. PI (or Co-PI) name
  - b. Project title
  - c. Funding agency
  - d. Funding amount requested (approximate amount, by year, is fine)
  - e. EPCS number (optional; please include if known)
  - f. Current C.V. for all the investigators for whom you request PI (or Co-PI) status.
4. If you are requesting PI-status for multiple investigators, please give all the above information for each individual and each project, and expect to receive a separate PI-status letter for each individual/project.
5. Please allow five (5) business days for a reply to your request by email.

For more information regarding the policy or the procedure for requesting exceptions please contact your sponsored programs administrator at ORSA (<http://orsa.uoregon.edu>), or Moira Kiltie (346-3188), Assistant Vice President for Research.