REQUEST FOR EXCEPTION TO POLICY  
TO SUBMIT A PROPOSAL

Definitions  
A Principal Investigator (PI) is an individual who has primary responsibility for the design, execution, and management of a research project and who will be involved in the project in a significant manner.  
A Project Director is an individual who has primary responsibility for the design, execution, and management of a training or public service project and who will be involved in the project in a significant manner.

Eligibility to submit proposals  
A research project proposal may be submitted only by one or more academic appointees who will personally participate in the project in a significant manner and serve as the Principal Investigator(s). A training project proposal may be submitted only by an academic appointee who will personally participate in the project and serve as the Project Director. 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.

Academic appointees in the following title groups are eligible to submit proposals for research or training contracts or grants:  
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 Cooperative Extension Specialist series.

By exception, the Vice Chancellor for Research may approve the submission of a contract or grant proposal by other appointees in special circumstances when i) such action is in the best interest of the University, and ii) space and facilities can be assigned without detriment to the regular instructional and research responsibilities of the University.

Exception to Policy (ETP) Requests  
Exception to Policy requests for those in other titles should be forwarded by the Dean to the Vice Chancellor for Research (ver@ucsc.edu) at least 5 business days before the OSP proposal notification deadline, and must include:  
1. A completed Request for Exception form, signed by the Chair/Director and Dean;  
2. A copy of the applicant’s CV;  
3. A concise summary of the applicant’s proposed research (ongoing) or project (project-specific); and  
4. An explanation of the benefit to the University, including how the project furthers the educational, research, and/or public service goals of the submitting unit and the University sufficient to justify the explicit or implicit allocation of University resources given competing requirements in the administering unit and the campus. Additional justification is needed if the project includes no support for students.

Exceptions may be project-specific or ongoing (for the duration of the appointment, including extensions1).  
Exceptions will not be approved for those in Research Associate, Research Fellow, and other courtesy titles.  
Exceptions will generally not be approved for Postdoctoral employees, except for small grants deemed to be an integral part of their postdoctoral study, with the concurrence of their supervisor.

Exceptions for service as Project Director on a training or public service project will be evaluated in terms of individual competence in the program area.

Responses will generally be provided back to the Dean within 5 business days.

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1 Exceptions approved prior to the effective date of this revised policy require renewal prior to being extended.