

**Policy and Procedure Manual
Administrative Manual – Section 10
Administrative Institutional
Department: Research Operations**



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Reviewed:
Revised:
Page: 1 of 3 (attachments)

**Eligibility Conditions for
Grant Applications from
City of Hope**

APPROVALS:

SLT: 04/14/13 BOD: Q2-13

Scope: Medical Center Beckman Research Development Group

I. Purpose/Background:

The following guideline/policy describes who is eligible to apply for extramural funding under City of Hope (COH) sponsorship as well as the terms and conditions under which a non professor series faculty member or a non faculty member of a research team may apply for extramural funding under City of Hope sponsorship.

This policy is not intended to discourage initiative in the application for research support; rather it provides guidelines and an exception process for the proper determination and assignment of institutional resources necessary to support the research being proposed.

II. Policy:

A. Eligibility for Applying for Extramurally Supported Funds

1. Professor Series Faculty (Medical Center and Beckman Research Institute) and Clinical Series Faculty (Medical Center) at the City of Hope may apply to extramural funding agencies for grants, contracts, and other sponsored funding subject to the policies outlined in the “Academic Appointments and Promotions Policy” (AAP). COH does, however, prohibit investigators from applying for or accepting grants from any tobacco organizations. (Refer to COH Smoking and Tobacco Products Policy).
2. Research Series Faculty, Other RSO members and Non-Faculty members may not apply as the Principal Investigator to extramural funding agencies for grants, contracts and other sponsored funding that require laboratory space and resources unless they receive a written exception to this policy. The process for obtaining this exception is outlined in Section C of this policy.
3. Clinical Series Faculty may not apply as the Principal Investigator to extramural funding agencies for grants, contracts and other sponsored funding that require laboratory space and other resources from BRI to conduct the project unless they secure approval through a written exception from the BRI Director for the lab space and /or other BRI resources. The process for obtaining this exception is outlined in Section C of this policy.

B. Certification of Space Availability and Resources

1. All sponsored programs that require laboratory space applied for will be conducted in assigned BRI-COH research space and are subject to the availability of resources to conduct that research. Research space assignment is outlined in the COH BRI Space Policy. Current space policies provide for the assignment of laboratory and office space to Professor Series Faculty and in support of centralized core facilities.
2. The Department Chair of the grant applicant has the responsibility for certifying the availability of laboratory space to conduct the proposed research for all faculty members in his/her department. This decision includes a discussion between the investigator/mentor and the chair and includes a certification by the BRI Director on the institutional transmittal form.
3. In the event that there is insufficient laboratory space to conduct the proposed research and the Chair wants to move the application forward, the Chair must confer with the Director of the BRI in advance of the submission and define the institutional intent to provide those resources in the event that the grant is funded.
4. Research Series Faculty, Clinical Professor Series Faculty, other RSO members and Non-Faculty members must receive Department Chair certification that laboratory space will be made available should an exception to this policy be approved. See specific exception process in Section C .

C. Application for Exception to this Policy

1. Clinical Professor Series Faculty, Research Series Faculty, Other RSO members and Non-faculty members requiring laboratory space and resources to conduct research may apply for an exemption to this policy on a proposal by proposal basis. They must complete the form *Request for Exception to COH Policy*. With the approval of the applicant’s Department Chair or Director; an exception application can be submitted to the BRI Director.
2. When the Department Chair or Division Director approves the request, they are attesting that the proposed PI meets the following conditions:
 - a. Possesses the necessary scientific training, skills and knowledge to serve as PI of this project.
 - b. Has the skills and knowledge to oversee the financial administration of the project and the personnel who will perform the project.
 - c. Has completed the required training should the project involve the use of animals, hazardous agents or human subjects and has the expertise to perform the project safely and in full compliance with City of Hope standards.
 - d. Will be supported by the department/division which will provide the necessary facilities and resources necessary for the conduct of the sponsored project (including all necessary laboratory space, secretarial, administrative and/or technical support).

All exceptions must be routed to and approved by the BRI Director for final approval.

III PROCEDURE:

RESPONSIBLE PERSON(S)/DEPT.	PROCEDURE
Principal Investigator	A. If a PI Exception form is required to access laboratory space, the PI

RESPONSIBLE PERSON(S)/DEPT.	PROCEDURE
Office of Sponsored Research/Office of Foundation Relations	<p>should alert their Department Chair of their intent to submit a proposal. The PI should obtain the necessary signatures prior to submitting their proposal for review by the central office.</p> <p>B. The central office responsible for submitting the proposal to the funding agency (i.e. Office of Sponsored Research or Office of Foundation Relations) must review the application package and ensure the PI Exception form is present.</p> <p>C. The central office responsible for submitting the proposal is responsible for submitting the PI Exception form to the BRI Director for final approval.</p>

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Collaborating Author(s) and Sponsor(s): David Horne, PhD, Interim Director, Beckman Research Institute and Alexandra Levine, MD, MACP, Chief Medical Officer

Related Policies:

1. Academic Appointments & Promotions (AAP) Version 1/10/09
2. COH Smoking and Tobacco Products Policy
3. BRI Space Policy

Acronyms, Terms and Definitions Applicable to this Policy:

1. **Clinical Professor Series Faculty** - Faculty members at MC with the one of the following rank designations - Clinical Professor, Associate Clinical Professor, Assistant clinical Professor, and Clinical Instructor
2. **Investigator** – Following the Office of Management and Budget guidelines (A122) for the principles of research conduct funded by the NIH, an investigator means “the principal investigator or any other person who is responsible for the “**design, conduct, or reporting of research**”. Other NIH grantee institution policies will have to be considered in their definitions of investigator.
3. **Non Faculty** – All non faculty members of research teams including but not limited to Post Doctoral Fellows, Graduate Students, Nurses, Statisticians, etc.
4. **Professor Series Faculty** – Faculty members at the Medical Center (MC) and Beckman Research Institute (BRI) with one of the following rank designations – Distinguished Professor, Professor, Associate Professor or Assistant Professor.
5. **Research Professor Series Faculty and Other RSO members** – Faculty members at BRI with the one of the following rank designations – Research Professor, Associate Research Professor, Assistant Research Professor, and Staff Scientists and Sr. Research Fellows.

Attachment:

1. Request for Exception to City of Hope Policy for Eligibility Condition for Grant Applications



Request for Exception to City of Hope Policy for Eligibility Conditions for Grant Applications
Effective: 04/14/13

Please process an exception to City of Hope Policy for Eligibility Conditions for Grant Applications on behalf of:

Name: _____

Current Professional Title: _____

Department: _____ **E-Mail:** _____

Phone: _____

PI Supervisor/Mentor: _____

** If this individual works under the supervision of another PI, please list their supervisor here*

Please Allow this Individual to Serve As: _____ **PI** _____

This exception applies to the Research Project listed below:

Proposal Title: _____

Sponsor/Agency: _____

Other Investigators/Co-PIs (if any): _____

Proposal Submission Date: _____

Please justify this request for an exception below (please attach extra documentation, if needed):

Required Approvals:

By signing this approval, you are confirming the applicant PI:

- 1) Possesses the necessary scientific training, skills and knowledge to serve as PI of this project.

- 2) Has the skills and knowledge to oversee the financial administration of the project and the personnel who will perform the project.

- 3) Has completed the required training should the project involve the use of animals, hazardous agents or human subjects and has the expertise to perform the project safely and in full compliance with City of Hope standards.

- 4) Will be provided with adequate laboratory space within your (Prof Series PI) assigned space

- 5) Will be supported by the department which will provide the necessary facilities and resources to conduct the sponsored project (including any necessary additional space, secretarial, administrative and/or technical support).

Required Signatures:

PI (Professor Series) _____ **Signature:** _____
Where Research is to be Conducted)

Dept. Chair: _____ **Signature:** _____

Approved By:

Beckman Research Institute Director: _____