



California Health Sciences University

CHSU POLICY FOR SUBMISSION OF RESEARCH GRANT APPLICATION TO EXTERNAL AGENCIES

I. SECTION ONE

While the Principal Investigator (PI) of an externally funded grant has overall responsibility for both the technical and fiscal management of a sponsored project, the University has both ethical and fiscal responsibilities for the management of any externally funded project. All awards, regardless of the source of funding and the use of funds, must be officially accepted by the University on behalf of investigators. Therefore, it is necessary that proposals to any external agency be submitted on behalf of the University, and that the following procedures be followed prior to submission of a proposal to any outside agency. Investigators that are preparing proposals that have specific deadlines must ensure that they allow sufficient time for necessary reviews and approvals to take place prior to submission.

Proposal submissions prepared by an individual faculty member or group of faculty must first be reviewed and approved by the chair of their department and the respective dean. It is the Department Chair and Dean's responsibilities to ensure that resources (space, equipment, time) are available for the investigator to meet the obligations detailed in the proposal, and that the requested budget is appropriate for the proposed work. CHSU does not currently have a federally negotiated Indirect Cost Rate. Until such is in place it is recommended that budgets to outside agencies (unless specifically prohibited) include a provision for 10% indirect cost recovery.

All proposals require a commitment of effort on the part of the PI(s) during the period in which the work is to be performed. The PI, CHSU Co-Investigators, Department Chair and Dean, therefore, must agree that those responsible for conducting the proposed research have the time to meet their teaching and service responsibilities in addition to the responsibilities of the proposed research. Department Chair and Dean approvals indicate their agreement that this requirement has been met. In addition, the proposal may include any necessary approvals (IRB, IACUC, etc.) pending funding agency requirements (see note 1).

Only after the full proposal has been vetted and approved by the chair and dean as indicated above, can it (with required approvals) be forwarded to the Provost (in the absence currently of an official Office of Sponsored Research). The Provost will work with designated individuals within the business office of the University to ensure that the budget is appropriate for the proposed work.



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The Provost will also serve (at this time) as the University officer responsible for ensuring that all University requirements have been met, and give final approval for proposal submission.

Should an award be made, the award is to the University. The PI shall be responsible for the administrative and technical conduct of the research as well as working within the budget as proposed. Expenditures must follow all University policies and procedures. The designated business officer shall ensure that such policies are adhered to and that they are within the budget as proposed. Any post-award communication with the granting agency requesting modifications of research scope and/or budget should be coordinated with appropriate University officials (Department Chair, Dean, Provost, business officer) and not undertaken unilaterally by the PI.

II. ADDENDUM

Faculty who wish to collaborate on research projects with entities outside of CHSU (e.g. other universities, hospitals, etc.) whether on funded or non-funded projects must obtain prior approval from their department chair and dean to ensure that their commitments of time and possibly CHSU resources are appropriate and do not interfere with other responsibilities.

III. NOTES

- (1) CHSU does not currently have an internal IRB. However, CHSU has arrangements with two external agencies to conduct IRB reviews when such approvals may be necessary. Therefore, research involving human subjects that may need a determination as to their IRB status (exempt, expedited or full board review) must have this determination made prior to commencement of such research or proposal submission. The need to have such a determination made will be handled through the Provost's office (or the Provost's designee) at this time.
- (2) Although for-profit institutions such as CHSU are (in general) eligible to receive research grant funding from federal agencies, some programs specifically exclude for-profits. In such cases, CHSU has an affiliation agreement with a 501(c) (3) organization (RMOPTI) through which CHSU investigators may submit applications to programs that exclude for-profits. Information on submitting grant applications via this affiliated entity is available from the Provost's Office (or the Provost's designee) at this time.



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- Policy Owner: URSCH-Research
- Effective Date: 7/10/2018
- Revised Date: 8/09/18
- Approval by President Date: 8/14/2018
- Approval by Provost Date: 8/14/2018