



OFFICE OF SPONSORED PROGRAMS

Principal Investigator Eligibility

Policy Number: 07-02

Effective Date: December 06, 2006

Responsible University Officer:

- ◆ Vice Provost for Research & Graduate Studies

Responsible Offices:

- ◆ Office of Sponsored Programs
- ◆ Office of Research Compliance

Policy Statement:

Tenured and tenure-track faculty, research faculty, and emeritus faculty are normally allowed to serve as principal investigators on funding proposals, contracts and research committee protocols, assurances, or registrations. Other university employees, including research associates, affiliates, adjunct faculty, and post doctoral fellows, may not act as principal investigator unless granted a substantiated exception by their institute director or dean with the approval of the Vice Provost for Research and Graduate Studies.

Background:

Principal investigators are leaders of sponsored research projects. Thus, principal investigators must have the technical competence and administrative capacity to assume responsibility for successfully accomplishing all aspects of the project. Sponsored projects and contracts are awarded to the University; therefore, it is in the University's interest to ensure that principal investigators have a reasonable prospect of long term employment at the University of Alaska Anchorage.

Post-doctoral fellows, research associates and graduate students are, in general, considered to be "researchers in training". Affiliates and adjunct faculty are appointed for only one to three years. This coupled with their relatively transitory association with the University makes them less suited to be a principal investigator. However, in recognition of the fact that proposal writing/development and demonstrating one's ability to obtain, manage and successfully manage sponsored projects is critical to scientists' professional development, UAA may allow individuals, who would not typically be eligible, to serve as a principal investigator by approval from the Vice Provost of Research & Graduate Studies using the PI Policy Exemption form.

Definitions:

- ◆ **Office of Sponsored Programs (OSP)** is the office responsible for reviewing proposals to external funding agencies/sponsors, initiating and implementing pre-award policies and procedures, and serving as a liaison between sponsors and the University prior to award.
- ◆ **Office of Research Compliance:** is the office responsible for ensuring compliance of University of Alaska Anchorage personnel with internal policies and with local, state and federal regulations governing the conduct of research.
- ◆ **Principal Investigator:** is the person responsible for developing and submitting a research proposal and for managing all aspects (scientific, fiscal, compliance, etc) of a research project or program (regardless of funding).
- ◆ **Research Committees:** are the groups established by the University to over see particular types of research (and in some cases teaching and other activities). There are currently five research committees: Institutional Animal Care and Use Committee (IACUC), Institutional Review Board (IRB), Laboratory and Biosafety Committee (LBC), Radiation Safety Committee (RSC), and the Information Transfer and Security Committee (ITSC).
- ◆ **Substantiated Exception:** is a request for an individual who is not a tenured/tenure-track faculty, research faculty or emeritus faculty to be allowed to serve as a Principal Investigator. Such requests are made to the Vice Provost of Research & Graduate Studies and must be submitted on the "PI Policy Exemption Form".

Responsibilities:

Vice Provost of the Office of Sponsored Programs

The Vice Provost of the Office of Sponsored Programs has final authority regarding whether or not an individual (other than tenured/tenure-track faculty, research faculty, or emeritus faculty) may serve as the principal investigator on a funding proposal.

Office of Research Compliance

Unless granted an exception by the Compliance Coordinator of the Office of Research Compliance, only tenured/tenure-track faculty, research faculty, or emeritus faculty may serve as the principal investigator on research committee protocols, assurances or registrations (here after referred to as research committee protocols) related to unfunded research or other activities. For sponsored activities, the principal investigator on a research committee protocol must be the principal investigator on the sponsored project except in the following cases:

1. *Program or Center Awards* (i.e. where the director is the principal investigator, but which include multiple independent projects to be conducted by co-investigators). In this case the co-investigator responsible for each independent project may serve as the principal investigator on the research compliance committee submissions related to their project; and
2. *Student Fellowships and Awards*- Students may not serve as the principal investigator on a research committee protocol; their faculty advisor or graduate committee chair must serve as the principal investigator.

Deans and Institute Directors:

Deans and Institute Directors are responsible for ensuring that the principal investigator

on any proposal submitted to the Office of Sponsored Programs is a tenured/tenure track faculty, research faculty, or emeritus faculty from their unit; or, that a signed "PI Policy Exemption Form" is submitted with the proposal for those who are not tenured/tenure-track faculty, research faculty, or emeritus faculty.

Limited Exceptions for Students Regarding Funding Proposals:

An exception to this policy is any application for a student fellowship or other application opportunities where the student is expected or required to be the applicant. Students submitting funding proposals shall:

1. fulfill all UAA requirements for new principal investigators prior to proposal submission;
2. submit a completed "PI Policy Exemption Form" signed by the dean or director of the unit responsible for financial management of the grant if awarded;
3. submit the signed "PI Policy Exemption Form" with their proposal to the unit appropriate unit business office; and
4. once awarded funding, comply with all UAA and sponsor requirements.

Non-Compliance:

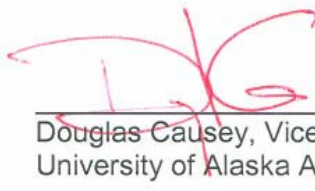
Failure to comply with this policy and/or associated procedures may result in missed submission deadlines. Fabrication falsification or plagiarism in a funding proposal is considered to be research/scientific misconduct and is grounds for disciplinary action by the university and, if applicable, suspension or termination of research, referral for misconduct proceedings, and/or reporting to state and federal regulatory and/or funding agencies. Any disciplinary action taken by the university will follow the employment rules governing the individual's employment category.

Failure to comply with research committee requirements and/or failure to maintain an Active protocol will result in suspension of access to sponsored funds, return of funds to sponsor(s) and/or a negative report being sent to the sponsor and/or federal regulatory agencies.

Exclusions:

There are no exclusions to this policy.

Policy Approvals:



Douglas Causey, Vice Provost for Research & Graduate Studies
University of Alaska Anchorage

12/04/06

Date