

Principal Investigator Eligibility (taken and adapted from current Policy Number 07-02)

**Responsible University Officer:**

*Vice Provost for Research and Graduate Studies*

**Responsible Offices/Officers:**

*Office of Sponsored Programs*

*Compliance Officer*

**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. All others, may not act as principal investigator unless granted a substantial exemption by their institute director/dean with the approval of the Office of Sponsored Programs.

**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. Further, it is recognized that in the instances of student fellowship or other application opportunities where the student is expected or required to be named Principal Investigator the PI Exemption will be generally granted.

**Definitions:**

- (1) *Office of Sponsored Programs (OSP)* is the office responsible for reviewing proposals to external funding agencies/sponsors, initiating and implementing pre-and post-award

policies and procedures, and serving as a liaison between sponsors and the University prior to award.

- (2) *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.)

## **Responsibilities:**

### ***The Office of Sponsored Programs***

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.

Unless granted an exception, only tenured/tenure-track/emeritus faculty may 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.

## **Non-Compliance:**

Failure to comply with this policy and/or associated procedures may result in withdrawal of the application from sponsor consideration, forfeiture of award, audit findings and cost disallowances.