

# UAS PI Eligibility Determination

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## Background

Proposals submitted for the external funding of research, training, and public service projects, and awards received for such projects, must name an eligible employee of the University to serve as Principal Investigator.

A Principal Investigator has absolute responsibility for the overall conduct of a sponsored project, including all technical, programmatic, financial, compliance and administrative aspects. The Principal Investigator is responsible for controlling the technical direction and academic quality of the project, and will ensure that a sponsored project is carried out in compliance with the terms, conditions, and policies of the Sponsor and the University.

## Who is Eligible to Serve as Principal Investigator?

### A. Principal Investigator Eligibility:

Tenured and tenure-track faculty with an academic rank of assistant to full professor with the approval of the Dean/Campus Directors are allowed to serve as principal (or co-principal) investigators.

### B. Professional Staff:

Professional staff may be appointed a principal investigator for non-research sponsored projects. The staff must be a regularly funded, exempt, budgeted position in a department that has an on-going, annual operating budget.

## Exceptions:

In exceptional circumstances, a term faculty member may serve as principal (or co-principal) investigator when the Provost, with concurrence of the Vice-Chancellor for Administrative Services, determines that this is in the best interests of the University. Such exceptions will be based on the specific situational circumstances including timing of the request and will not set precedence for any future requests. The following must be submitted in writing to the Vice Chancellor and Provost prior to submission of the actual proposal:

- The proposed Principal Investigator's relationship to the department (e.g., their current appointment, any planned appointments or changes in appointment, the duration of the appointment, etc.).
- The title of the project and the name of the sponsoring agency.
- A brief description of the proposed activity.
- The department's compelling reasons for the request and specifically how it relates to the academic program teaching and research priorities of UAS as defined in Strategic and Assessment Plan.
- A statement that space and facilities will be arranged without detriment to the regular instructional or research responsibilities of the department.
- An assessment of the proposed Principal Investigator's ability to carry out the administrative responsibilities incumbent upon Principal Investigators.
- A contract time frame that allows the Principal Investigator to complete the project, and all post project administrative reporting.

## Approval of a Request for Exception to Principal Investigator Status:

If the exception request allowing an ineligible individual to act as PI is approved, it is only for the specific project identified in the request, and not a blanket approval for the any future proposals. The Provost's Office will notify the proposed Principal Investigator and department of the approval in writing. The exception will remain in effect for the duration of the specific project unless support is withdrawn by the dean, director, provost, or vice chancellor.

## Denial of a Request for Exception to Principal Investigator Status

If the Provost and Vice Chancellor do not approve the request, the Provost's Office will immediately notify the proposed Principal Investigator and the dean and/or director.