



**UCCS CAMPUS POLICY**

**Policy Title: Principal Investigator Eligibility on Sponsored Programs**

<b>Policy Number: 900-006</b>	<b>Policy Functional Area: Academic</b>
Effective:	December 14, 2016
Approved by:	Pam Shockley-Zalabak, Chancellor
Responsible Vice Chancellor:	VCAA
Office of Primary Responsibility:	VCAA
Policy Primary Contact:	AVC Research, 719-255-3779
Supersedes:	April 6, 2006; May 15, 2005
Last Reviewed/Updated:	March 30, 2016
Applies to:	UCCS Faculty and Staff

Reason for Policy: The purpose of this policy is to specify who may serve as a Principal Investigator (PI), Project Director (PD), Co-Principal Investigator (Co-PI), or Co-Project Director (Co-PD) on externally sponsored programs at the University of Colorado Colorado Springs (UCCS).

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## I. INTRODUCTION

External awards are made to the University of Colorado Colorado Springs (“University” or “UCCS”) on behalf of the University faculty, staff, and students. The University is legally accountable for complying with all regulations and other requirements guiding the execution of sponsored projects. This policy explicates who may serve as a *Principal Investigator (PI)*, or *co-Principal Investigator (Co-PI)* to ensure that sponsored projects are administered by those with the appropriate skills, training, and university affiliation.

## II. POLICY STATEMENT

- A. Automatic Eligibility. Individuals employed at UCCS and who are tenured faculty, are in a tenure-track faculty position, or have the title of Research Associate, Senior Research Associate, Research Assistant Professor, Research Associate Professor, or Research Professor at UCCS are eligible to serve as a *PI* or *Co-PI*. Retired tenured faculty or emeritus faculty will need to seek approval following procedures under section V.B.

## B. Persons Needing Approval.

1. Other individuals employed by the University with appropriate experience and independence to conduct sponsored program activities may be approved or designated by the Associate Vice Chancellor for Research to serve as the *PI* or *Co-PI*. Approval is required to ensure that sponsored project activity fits within the job duties of person, appropriate support is provided, and appropriate resources are available to ensure the success of the project.
2. To initiate a request, a recommendation is required from the appropriate academic unit dean, center or institute director, or appropriate vice chancellor for non-academic units using the PI Eligibility Request form. This recommendation is to include an acknowledgement that the appropriate units take full responsibility for the conduct of the project, both technically and fiscally. This recommendation is then forwarded to the Office of Sponsored Programs. Approval must be obtained prior to contacting the Office of Sponsored Programs for assistance in proposal preparation and/or submission.
3. Persons requesting approval to be a *PI* or *Co-PI* will be required to identify appropriate support needed for successful completion of project. At a minimum, required support includes identifying a sponsored program administrator for the project and a sponsor who will also be the person to assume responsibility of the project if the named investigator leaves the institution or if eligibility is revoked. Other support persons may also need to be identified based on individual needs of project and *PI*.

## C. Responsibilities.

1. A *PI*'s qualifications are confirmed by the supervising academic unit dean or Center or Institute director or appropriate Vice Chancellor, where appropriate, by the academic unit dean or Center or Institute director or appropriate Vice Chancellor's approval and signature on the PI Eligibility Request form.
2. All persons serving as *PI* or *Co-PI* or supervisor must take training appropriate for the sponsored project (e.g., Responsible Conduct of Research, Direct Charging to Sponsored Projects, Electronic Personnel effort reporting, etc.) as determined by the Director of the Office of Sponsored Programs.
3. Any person not following campus processes for sponsored programs may lose eligibility to be a *PI* or *Co-PI*. Revocation of eligibility is responsibility of the Provost with appeal to the Chancellor. Revocation may be requested due to mismanagement of project and project funds, unethical behavior, or other serious deviations from accepted practices for sponsored projects. If eligibility is revoked then the sponsor will be responsible for the project or the project may be terminated and funds returned to sponsoring agent.

## III. KEY WORDS

- A. Principal Investigator ("PI")

## IV. RELATED POLICIES, PROCEDURES, FORMS, GUIDELINES, AND OTHER RESOURCES

- A. Administrative Policy Statements (APS) and Other Policies
- B. Procedures

C. Forms:

UCCS PI Eligibility Request - <https://osp.uccs.edu/resources/forms>

D. Guidelines

E. Other Resources (i.e. training, secondary contact information)

F. Frequently Asked Questions (FAQs)

## V. HISTORY

Initial policy approval	May 15, 2005
Revised	April 6, 2006