

# UC Santa Barbara Policy and Procedure

## Research Circular B.1 Policy on Principal Investigator Roles and Responsibilities and Eligibility to Serve as Principal Investigator

Contact: Office of Research, Sponsored Projects

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Pages: 9

## Research Circular B.1. Policy on Principal Investigator Roles and Responsibilities and Eligibility to Serve as Principal Investigator

### I. Scope

Proposals submitted by UCSB for the extramural funding of research, training, and public service projects, and extramural awards received for such projects, must name an eligible employee of the University (normally an employee with an academic appointment) to serve as Principal Investigator. Often, more than one Principal Investigator is named in a particular proposal or award.

### II. Policy

A. The following individuals are eligible to serve as Principal Investigators including Listed Principal Investigators, for extramural contracts or grants:

1. Members of the Academic Senate, including the following titles, whether in regular or emeritus status:

- Chancellor
- Vice Chancellor
- Dean (Academic)
- Professor
- Associate Professor
- Assistant Professor
- Research Professor
- Director of Academic Program
- University Librarian
- Senior Lecturer with Security of Employment at 100%
- Lecturer with Security of Employment at 100%
- Senior Lecturer with Potential for Security of Employment at 100%
- Lecturer with Potential for Security of Employment at 100%

Note: additional titles are located in the Manual of the Santa Barbara Division University of California Academic Senate Divisional Bylaws and Regulations, Chapter 1: Membership.

2. Physical Education or University Extension Specialists who will personally participate in a significant manner in training or training-related research projects.
3. Appointees 50% time or greater in the Professional Researcher series.

4. Appointees 50% time or greater in the Adjunct Professor series.
5. The following senior administrative positions, when the project is closely aligned with the nature of their position: the Director of the Art Museum, the Director of the Orfalea Family Children's Center, and the Chief of Police.

#### B. Multiple Principal Investigators

When a proposal or award for a Sponsored Project has more than one Principal Investigator, each Principal Investigator must meet the eligibility criteria or must receive an exception to policy (as set forth in Section C, below).

#### C. Exceptions to Serve as Principal Investigators

Authority to approve exceptions to the eligibility requirements for Principal Investigator status is vested in the Director of Sponsored Projects and approved in consultation with the Vice Chancellor for Research. Authority to approve exceptions is re-delegated, under certain circumstances, to Department Chairs and ORU directors. These circumstances are outlined in Attachment A.

1. Exceptions for University employees who do not meet the eligibility requirements may be requested under the following conditions:
  - a) The project is in the best interests of the University;
  - b) The project or program will contribute to the basic instructional or academic plan of the department or organized research unit;
  - c) The individual is qualified to undertake the proposed project or program;
  - d) Adequate space is available; and
  - e) Adequate administrative resources are available within the department to provide necessary assistance with project management and oversight.
2. Exceptions typically fall into one of the following categories:
  - a) Professional Researcher appointees at less than 50% time.
  - b) Students submitting proposals for fellowships, dissertation research grants, or field research grants to be awarded to The Regents, when an extramural funding agency requires that the student originating a project also be the individual who initiates the application for funding.
  - c) Courtesy appointments (e.g., Research Associate) to serve as Co-Principal Investigators, with the understanding that such individuals cannot at any time assume the role of sole Principal Investigator.
  - d) Other academic research titles (e.g., Specialist or Postdoctoral Scholar) who wish to serve as Co-Principal Investigators on a project, with an established history at this campus of successfully conducting research.
  - e) Other specialty titles, when the nature of their position requires them to head research, public service, or instructional projects.

### III. Responsibilities

#### A. Principal Investigator:

The Principal Investigators (including “Co-Principal Investigators”) have *primary responsibility* for the scientific, technical and administrative conduct and reporting of the Sponsored Project. These responsibilities include:

1. Assuring the scientific integrity and management of the Sponsored Project;
2. Assuring the appropriate financial management of the Sponsored Project;
3. Assuring adherence to all internal university policies; and
4. Assuring adherence to externally imposed sponsor terms and conditions including reporting and record keeping requirements contained in the award document.

Principal Investigators may make informal approaches to extramural funding agencies for the purpose of determining whether preparation of a formal, written proposal for a specific project is warranted. However, only members of the Office of Research with written, delegated authority may submit proposals or accept awards related to Sponsored Projects.

The Principal Investigator is responsible for assuring the sponsored research activities start only after the Sponsored Projects Office has executed an appropriate award and all regulatory approvals are received.

Note: It is reasonable and appropriate for the Principal Investigator to reply upon administrative staff for assistance in carrying out his or her responsibilities for administrative aspects of a Sponsored Project. However, the Principal Investigator *cannot* delegate the responsibilities enumerated by this Section to any administrative staff member.

#### B. Listed Principal Investigator

The Listed Principal Investigator, by nature of the position, will be either the Principal Investigator or a Co-Principal Investigator on the award or proposal and as such, shall have the responsibilities outlined above.

#### C. Sponsoring Principal Investigator

The Sponsoring Principal Investigator has responsibility to oversee and guide the Principle Investigator. As such, the Sponsoring Principal Investigator is responsible for:

1. Understanding the Principal Investigator’s project goals and methods;
2. Ensuring the Principal Investigator has access and adheres to University policies and practices as well as the terms and conditions of the award supporting the Sponsored Project;
3. Being available to the Principal Investigator to answer questions or provide guidance in complex or unusual situations;
4. Assuring that the Principal Investigator is meeting his or her responsibilities, including reporting requirements;
5. Mentoring the Principal Investigator in fiscal responsibility and compliance. Note: the Sponsoring Investigator does not have the authority to make general expenditures; and
6. Closing-out the award and assuring all final reporting and other requirements in the award terms are met, in the event that the Principal Investigator is no longer available and/or able to serve.

#### D. Substitute Principal Investigator

Individuals identified as Principal Investigators on a proposal submitted to an extramural sponsor are expected to be the individuals who direct the project in the event an award is made. If, during the term on an awarded project, circumstances require the appointment of a substitute Principal Investigator, such substitutes must meet the eligibility requirements stated in Section II above, or be approved to serve on an exceptional basis in accordance with Section IV below. Substitute appointments shall be reviewed and approved by the Office of Research prior to notifying the awarding agency.

#### E. Relationship between Principal Investigators

The Principal Investigators have equal authority to manage the scientific and financial administration of the Sponsored Project.

1. As general practice, the Sponsored Projects Office relies upon the Lead Principal Investigator, listed first on the Office of Research Data Sheet & Approval Form (Form 100), to coordinate and come to a mutual agreement with all Principal Investigators involved in the project regarding any substantive change to the award or proposal terms. The term "substantive change" includes but is not limited to, the withdrawal of a proposal, the termination of an award, the transfer of an award, the addition of the new Principal Investigators, and the removal of any Principal Investigators. However, it is recognized that in rare instances, the Principal Investigators may be unable to agree on the necessity to make a substantive change to the proposal or award. In such event, the following shall apply, unless the sponsor's proposal guidelines or award conditions state otherwise:
  - a) In the case of multiple Principal Investigators or Co-Principal Investigators, the Listed Principal Investigator shall have final authority. If there are multiple Listed Principal Investigators, the Lead Principal Investigator shall have the final authority.
  - b) In the case that the Principal Investigator or Listed Principal Investigator has been appointed under an exception to this policy, the Sponsoring Principal Investigator shall have the final authority.

### IV. Procedures

#### A. Procedures for Requests for Exceptions

##### 1. Head of Administrative Unit

Signature of authorized unit head on the Office of Research Data Sheet & Approval Form (Form 100) shall constitute evidence of approval for the following types of exceptions:

- a) Professional Researcher appointees between 1-49 percent time to serve as Co-Principal Investigator in conjunction with an eligible individual.
- b) Graduate students and postdoctoral students to serve as Co-Principal Investigator on fellowship, fieldwork or dissertation projects only (the student may be identified as the Principal Investigator if so required by the agency, but an eligible or otherwise approved individual must be named as Co-Principal Investigator).

## 2. Office of Research

Individual and Blanket Exceptions are subject to the approval of the Director of Sponsored Projects (SPO) in consultation with Vice Chancellor for Research. The Director of SPO may apply additional stipulations upon approval.

- a) Individual Exceptions may be requested for individuals within a department or organized research unit (ORU) on a project-by-project basis.

Requests for Individual Exceptions to serve as Principal Investigator or Co-Principal Investigator are to be submitted to the Office of Research on Office of Research Form 99 (copy attached).

- b) Blanket Exceptions may be requested for individuals within a department or organized research unit (ORU). If approved, these exceptions are applied to multiple projects within the same department or ORU. These exceptions, once approved, will remain in effect until revoked by the requesting department or ORU. Blanket exceptions may also be requested for identifiable groups of individuals.

Requests for Blanket Exceptions are to be submitted via email or memorandum from the requesting Department Chair or ORU Director to the Director of Sponsored Projects and must address the elements specified on the Form 99.

### B. Procedure for Substitute Principal Investigator

Requests to appoint substitute Principal Investigators or Co-Principal Investigators are to be submitted by memorandum to the Office of Research for review and transmittal to the sponsoring agency. In general, such requests require the prior approval of the sponsor agency if the substitution is to be for a period of three months or more (although certain agencies may have different requirements). The memorandum should specify the length of the substitution, the reason, and the qualifications of the substituting individual.

## V. References

- A. Standing Orders of The Regents 100.4 and 105.1a
- B. University of California Contract and Grant Manual, Chapter 1, Section 1-500 through I-530, Chapter 2, section 2-200 and 2-210
- C. UCSB Research Circular A.1
- D. Manual of the Santa Barbara Division University of California Academic Senate Divisional Bylaws and Regulations, Chapter I

## VI. Appendices

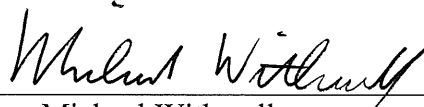
### A. Definitions

1. Sponsored Project: is an extramurally-supported research, training or public service project related to research, scholarly or professional training to be performed with University resources or facilities, funded through a contract or grant (To distinguish between "gifts" and "grants", See UCSB policy and procedure "Gift/Grant/Contract/Sponsorship Determination" located at <http://www.policy.ucsb.edu/policies/index.>).

2. Principal Investigator: is an employee of UCSB (normally with an academic appointment - see Member of the Academic Senate, below) who is or becomes eligible under this policy to submit a proposal for extramural support for research, training, or public service project, who personally participates in the project to a significant degree, and who has primary responsibility for the scientific, technical, and administrative conduct and reporting of the project, including financial matters. A Principal Investigator who is the head of a training or public service project may be known as a Project Director or Project Administrator. For the purposes of this policy, the terms shall be considered equivalent.
3. Co-Principal Investigator: is an investigator who will share responsibility for the scientific, technical, and administrative conduct and reporting of a project with the Principal Investigator. Each individual named as a Co-Principal Investigator at UCSB must meet the same eligibility requirements as a Principal Investigator. There may be more than one Co-Principal Investigator.
4. Lead Principal Investigator: is the investigator that is listed on the Office of Research Data Sheet & Approval Form (Form 100).
5. Listed Principal Investigator: is listed on the Sponsor's award document for extramural funding. This individual is usually the Lead Principal Investigator.
6. Sponsoring Principal Investigator: is a Member of the Academic Senate who agrees to provide oversight and guidance in the case where the proposed Principal Investigator does not meet the criteria to be automatically eligible to serve as a Principal Investigator, and it is determined that the proposed Principal Investigator would benefit from such oversight and guidance. The Sponsoring Investigator performs this role as part of the service component of their professorship (providing mentor and stewardship duties). The Sponsoring Principal Investigator is appointed for internal purposes only and will not be listed on the proposal. The appointment of a Sponsoring Principal Investigator will be determined by the Office of Research in consultation with the administering unit.
7. Member of the Academic Senate: is an individual whose appointment, be it regular or emeriti, is deemed by the Academic Senate to correspond to one of the titles identified in The Regents' Standing Order 105.1(a).

#### B. Attachments

1. Table of PI Approval Authority
2. Office of Research Form 99



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Michael Witherell  
Vice Chancellor for Research

		Payroll Title	Appointment Type	Project Type	Approval as sole PI	Approval as Co-PI ‡		
Academic	Academic Senate Member	Academic Senate Member (All Titles)†	All Appts.	All	Eligible	Eligible		
	Faculty Titles	Ladder Faculty	UC Emeriti	All Appts.	All	Eligible	Eligible	
			Research Professor	All Appts.	All	Eligible	Eligible	
		Ladder Faculty	Professor, Associate Professor, Assistant Professor	Regular Appt.	All	Eligible	Eligible	
				Visiting	All	OR	OR	
			Adjunct Professor	≥50% with paid appt.	All	Eligible	Eligible	
	Teaching Titles	Lecturer with Security of Employment (LSOE) & Lecturer with Potential Security of Employment (LPSOE)	<50% or WOS Appt.		OR	OR		
			100%	All	Eligible	Eligible		
	Research Titles	Professional Researcher	Researcher, Associate Researcher, Assistant Researcher	<100%	Projects that are closely aligned with the nature of their position **	OR	OR	
				Regular Appt. ≥50%	All	Eligible	Eligible	
				Regular Appt. <50%		OR	Head of Administering Unit	
		Project Scientist	Project Scientist , Associate Project Scientist	Visiting or WOS (Courtesy)	All	Not eligible	OR	
				Regular Appt.	All	OR	OR	
				Assistant Project Scientist	Regular Appt.	All	Not Eligible	OR
		Specialist	Specialist, Associate Specialist, Assistant Specialist, Junior Specialist	Regular Appt.	All	Not Eligible	OR	
				WOS (Courtesy)				
		PostDoc	PostDoctoral Scholar	Employee/Fellow	Fellowship/Field Research Projects		Not eligible	Head of Administering Unit
					All other projects		Not Eligible	OR
	Paid Direct				All	Not Eligible	OR*	
	Student Academic Titles	Graduate Students	All Appts.	Fellowship/Dissertation Research Grants/Field Research Grants		Not Eligible	Head of Administering Unit	
All other projects					Not Eligible	OR*		
Student Academic Titles	Undergraduates	All Appts.	All		Not Eligible	Not Eligible		
	Other Academic Titles	Academic Coordinator	All Appts.	Projects that are closely aligned with the nature of their position **	Not Eligible	OR		
Librarian		All Appts.	Projects that are closely aligned with the nature of their position **	Eligible	Eligible			
Associate Librarian, Assistant Librarian		All Appts.	Projects that are closely aligned with the nature of their position **	OR	OR			
Temporary/Continuing Lecturer (Lecturers without Security of Employment)		Regular Appt.	All	Not Eligible	OR			
Staff	Other Specialty Titles	Director of the Art Museum, Director of Orfaea Family Children's Center, Chief of Police	All Appts.	Projects that are closely aligned with the nature of their position **	Eligible	Eligible		
		Physical Education Specialist University Extension Specialist	All Appts.	Training or Training Related Projects **	Eligible	Eligible		
Other	Other	All Appts.	All		OR	OR		

\* Requests may be considered, but exceptions are rarely granted, and only with demonstration of a strong justification.

\*\* For all other projects see the "Other" category.

† Please see the UCSB Academic Senate Bylaws and Regulations Chapter I: Membership ([https://senate.ucsb.edu/bylaws.and.regulations/division/Part\\_I/Chapter\\_I/](https://senate.ucsb.edu/bylaws.and.regulations/division/Part_I/Chapter_I/))

‡ The Co-PI may be listed first on the data sheet and/or proposal as the Lead PI, but the data sheet must include at least one eligible Co-PI.

**Head of Administering Unit:** Depending on type of unit, this approval may come from the Department Chair, ORU Director, or the Dean of the School. Signature on UCSB Data Sheet constitutes evidence of approval of the exception, unless the Department, ORU, or School has established alternative procedures.

**OR** (Office of Research): Requests shall be in the form of a completed Form 99 and directed to the Contract and Grant Officer serving the administering unit.

Last updated: 2/23/2016 JM

Approved by CD: 2/23/2016

**REQUEST FOR EXCEPTION  
TO SERVE AS PRINCIPAL OR CO-PRINCIPAL INVESTIGATOR  
(Form 99)**

Requests for exceptions to serve as Principal or Co-Principal Investigator are made in accordance with Research Circular B.1.

To determine if an individual is eligible to serve as Principal Investigator, please see Section II.A.  
To review the responsibilities and relationships of Principal Investigators, please see Section III.A.  
To review the responsibilities and relationships of Sponsoring Investigators, please see Section III.C.

Sponsoring Agency: \_\_\_\_\_

Project Title: \_\_\_\_\_

Administering Department/ORU: \_\_\_\_\_

Exception for:

_____	To Serve As:		
Proposed PI Name	Sole PI	Lead PI	Co-PI
_____	_____	_____	
Current Payroll Title	Current % Time	Appt. End Date	

If this exception is for an individual to serve as a Lead PI or Co-PI, then an eligible Co-PI must be listed in the box below. This Co-PI must also sign on the Co-PI approval line on the following page.

*If applicable:*

_____	<i>*Co-PI must be eligible in accordance with Research Circular B.1.</i>		
Co-PI Name	_____	_____	
_____	_____	_____	
Current Payroll Title	Current % Time	Appt. End Date	

- In accordance with Section II.C.1. of Research Circular B.1, state why it is necessary and in the best interest of the University for the individual seeking this exception to serve as Principal Investigator on this project or program.



2. Summarize the individual's qualifications to undertake this project. This should include any prior history of serving as a Principal Investigator or Co-Principal Investigator on grants or contracts awarded by extramural sponsors. It also should include the extent of their experience and knowledge of UCSB policies and procedures related to research. If the proposed Principal Investigator does not have experience and/or knowledge of UCSB policies and procedures related to research, describe what steps will be taken to attain the necessary knowledge.

3. Please attach the Proposed Principal Investigator's full Curriculum Vitae, the program solicitation (guidelines), and any additional information that may assist us in our review of this request.

**Approvals:**

Proposed PI: Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

*\*I understand that approval of this exception does not imply that the University will extend my current appointment period, nor does it obligate the University to do so.*

Co-PI (if any): Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Department Chair/ORU Director: Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**FOR OFFICE OF RESEARCH USE ONLY**

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Director of Sponsored Projects or designee:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Sponsoring Principal Investigator Required?                      Yes                      No

If yes, Name: \_\_\_\_\_ Signature: \_\_\_\_\_

***All Sponsoring Principal Investigators should carefully review Research Circular B.1. and understand their roles and responsibilities.***