


<b>Principal Investigator Eligibility</b>	
<b>Sponsored Programs SOP #7 Version 1.0 – December 20, 2021</b>	

## 7. Principal Investigator Eligibility

### 7.1. Purpose

The title of Principal Investigator (PI) identifies the individual responsible for the conduct of a sponsored project. This responsibility includes the intellectual conduct of the project, fiscal accountability, administrative aspects, and the adherence to relevant policies and regulations. Under the terms and conditions of the award, a PI accepts sponsored funding on behalf of the University of Missouri Kansas City. For that reason, PIs must have a reasonable prospect of long-term employment at the University.

### 7.2. Definition


The Project Director/Principal Investigator (PD/PI) is the person responsible for the design, conduct, and reporting – both scientific or technical and fiscal – of the research. In addition, they are responsible for any additional regulatory and review requirements. Externally funded sponsored projects at the University of Missouri Kansas City (UMKC) are under the scholarly and administrative control of the PD/PI or Co-PDs/PIs, who is responsible for the overall design, conduct, and reporting of the research or other activity.


### 7.3. Policy

- It is the expectation of UMKC that the PD/PI on a research proposal should be an employee of the University. Due to the nature of collaborations with our clinical affiliate institutions, non-employee faculty members may also serve as PD/PI.
- Members of the Faculty who are retired may serve as PD/PI provided they are in an active pay status/appointment and there is at least one academic unit willing to provide the necessary administrative commitment to permit the program to be carried out.
- When a sponsor recognizes more than one PI, one will be designated as the “Principal Investigator” who shall be the individual who assumes institutional responsibility for the overall project and with whom the Office of Sponsored Programs will communicate for administrative matters.

**7.3.1.** It is possible for persons who are not UMKC employees to serve as PD/PIs if they receive approval from their academic unit (*see 7.6 Exceptions*).

**7.3.2.** At the recommendation of the Vice Chancellor for Research (VCR) a Postdoctoral Fellow may be designated as a Co-PD/PI. However, when required by the sponsor and per program guidelines, (e.g., NIH, HRSA, etc.) a Postdoctoral Fellow will be recognized as a PI in the sponsor’s proprietary system, like NIH Commons. To route proposals through internal systems and obtain required internal approvals Postdoctoral Fellows must seek a sponsoring PI who will assume budgetary and reporting responsibilities at the University level.

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**7.3.2.1.** The process for establishing a Postdoctoral Fellow as a co-PD/PI is as follows. A Department Chair or Dean shall submit to the VCR a request for approval, which should include the following information:

- The category of appointment of the proposed Co-Principal Investigator identifying his/her current appointment, planned appointment or changes in appointment, and the duration of the appointment.
- A brief description of the proposed project, including the title, scope of work, and sponsor, and how the project aligns with the individual’s responsibilities.
- A brief description of the qualifications of the proposed Co-Principal Investigator.

**7.3.2.2.** The VCR shall review all requests for approval taking into consideration the qualifications of the Postdoctoral Fellow, and the scope of work. Depending upon the circumstances, the VCR may limit the approval to a specific sponsored project or subject to specific conditions.

**7.3.3.** There are other requirements for the title of Principal Investigator on protocols reviewed by the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), and the Institutional Biosafety Committee (IBC).

**7.4. PI Eligibility to Submit a Proposal for External Funding**

Any individuals who hold one of the following UMKC positions can be a PI and submit proposals for external funding:

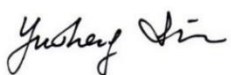
- Faculty members of all types
- Volunteer faculty – specially designated and approved by department
- Research scientists and research associates
- Adjuncts, Assistant Directors, and other professional staff may be eligible for PI status in certain circumstances.


**7.4.1. Emeritus Appointees**

Each unit shall decide if Emeritus appointees will be allowed to submit proposals. If yes, the Emeritus Professor must have an active job in PeopleSoft HR (generally courtesy faculty).

**7.5. PI Ineligible Positions to Submit Proposals**

The following individuals are NOT eligible to serve as sole, primary PIs on externally sponsored projects without the specific approval of an exception; however, these individuals may serve as Co-PIs with a lead PI who meets all the eligibility requirements outlined herein:

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- Unfunded research faculty without a Research Faculty Agreement,
- Faculty Affiliates who are not employees of the University,
- Visiting scholars who are not employees of the University,
- Postdoctoral scholars/fellows (see below), and
- Graduate and undergraduate students.

### 7.6. Exceptions

**Unfunded Research Faculty, Faculty Affiliates, or Visiting Scholars.** A unit may propose an exception request to the Office of Research Services (ORS) via approved PeopleSoft (PS) pages approved by the unit Chair and Dean. Unit acceptance of non-funded research faculty, faculty affiliates or visiting scholars indicates the unit has the appropriate information to:

- Guarantee lab space or other required resources.
- Commit the department to assume responsibility for the project should the individual's status change while PI.


Should a unit support such an individual, all PI requirements - such as compliance, procedural, and responsibility and training expectations - must be met.


**Exceptions may also include:**

- A visiting scholar or new faculty member who has accepted a position at the University but not yet arrived (include start date), or affiliate.


**Postdoctoral fellows and students** generally are not eligible to serve as PI as they typically are not contractual employees. However, certain external funding programs have as their purpose the support of graduate education or research through student-initiated projects. For those programs, the following conditions apply:

- A full-time faculty member must serve as Faculty Advisor.
- The Faculty Advisor shall serve as PI for institutional purposes.
- The postdoctoral fellow or student shall be responsible for the intellectual conduct of the project within the oversight of the Faculty Advisor.

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- The proposal to the sponsor may name the postdoctoral fellow or student as Key Personnel if the Faculty Advisor is named as the responsible individual unless that is prohibited by the sponsor’s guidelines. In that case, the Faculty Advisor will be named and designated as the PI for internal UMKC purposes and will accept all associated responsibilities.

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