

# **Protocol for Research Principal Investigator Eligibility in Association with Externally-Funded Research, Service, and Programs**

## **I. Introduction**

### **A. General Protocol**

University of San Diego assumes significant financial and legal obligations when a proposal to an external sponsor is submitted, because any award made as a result of the proposal will be in the name of the university. Under the general oversight and authority of the university, the principal investigator (also project administrator, project director, program administrator, and program director) of a sponsored project is the individual who bears primary responsibility for completion and technical compliance of the proposed scope of work, fiscal stewardship of the sponsor funds, and fulfillment of the administrative requirements of the project. Thus, the university must ensure that individuals serving in the capacity of principal investigator have appropriate technical competence and administrative capabilities, and have a reasonable long-term commitment to the university. This protocol defines the requirements that must be met by those who serve in the capacity of principal investigator on externally sponsored projects at University of San Diego.

### **B. Scope**

This policy is intended to carry out this institution's responsibilities under the Code of Federal Regulations Title 2, Subtitle A, Chapter II, Part 200 Uniform Administrative requirements, Cost Principles, and Audit Requirements for Federal Awards.

## **II. Definitions**

- A. Principal Investigator – A principal investigator is a university employee with an eligible appointment (see section III below for eligible appointments) who is responsible for the design, scientific/technical/administrative conduct, and reporting of a research, training, or service project supported by extramural funding sources. A principal investigator must personally participate in the project to a significant degree.
- B. Project Administrator or Project Director – A project administrator or project director is a university employee with an eligible appointment (see section III below for eligible appointments) who is the head of a training or service project and has the same responsibilities as a principal investigator.
- C. Program Administrator or Program Director – A program administrator or program director is a university employee with an eligible appointment (see section III below for eligible appointments) who is the head of a program involving more than one project and is administratively responsible for all aspects of the program.

## **EQUIVALENCE OF TERMINOLOGY**

All statements in sections III and IV for a principal investigator also apply to a project administrator, project director, program administrator, and program director.

### III. Eligibility

- A. Principal Investigator: Any individual who holds one of the following appointments at the university may be a principal investigator for a sponsored project:
- Tenured and tenure-track faculty member;
  - Administrator who has been approved by the Office of the Vice President and Provost Representative;
  - Research or clinical faculty member with an appointment until at least the end of the proposed grant;
  - Director of a formally approved institute or center at the university;
  - Formally-named Professors of Practice with an appointment until at least the end of the proposed grant;
  - Formally-named Research Associates by the Office of the Vice President and Provost with an appointment until at least the end of the proposed grant. A Research Associate is eligible to submit a grant proposal as a co-PI with an eligible PI as noted above. Prior to submitting a grant proposal, the dean will also need to submit a formal request to the Office of the Vice President and Provost that the Research Associate serve as co-PI on the grant during the time of the grant proposal with a commitment to find a suitable co-PI if the Research Associate is no longer able to fulfill his/her commitment to the funded grant.
- B. Competency by academic field (faculty) or job duties (administrative).

### IV. CONFLICTS WITH SPONSORS

In some cases, a sponsoring agency may have more stringent restrictions on the qualifications for the principal investigator on a particular project than are mandated by university policy. In this situation, the sponsor's restrictions will take precedence over the policies of the University for that particular project.