

# UC IRVINE ADMINISTRATIVE POLICIES AND PROCEDURES

## RESEARCH AND SPONSORED ACTIVITIES

### Section 480-5.1: Principal Investigator Eligibility Exception Requests

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**Responsible Office:** Vice Chancellor for Research, Office of Research

**Revised:** July 1, 2018

#### References/Resources:

- UC Policies
  - [University of California Systemwide Contract and Grant Manual \(Subchapter 1-500\)](#)
  - [Board of Regents Standing Order 105 - Academic Senate](#)
  - [UC Policy on Statement of Ethical Values and Standards of Ethical Conduct](#)
- UCI Administrative Policies & Procedures
  - [Section 480-5: Principal Investigator Eligibility and Project Leadership](#)
  - [Section 480-2.1: Responsibilities for Conduct and Administration of Research for Principal Investigators and Lead Researchers](#)
  - [IDA 569: Principal Investigator Status, Exceptions](#)

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#### Purpose and Scope

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This procedure describes the general process for requesting and approving an exception to the PI eligibility requirements contained in Section 480-5: Principal Investigator Eligibility and Project Leadership.

#### Definitions

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**Principal/Co-Principal Investigator (PI):** The UCI employee/s who is/are responsible for the design, scientific/technical conduct, administrative conduct, and reporting of research, training, or public service projects supported by non-UCI entities, or research funding awarded by the Office of Research.

#### Responsibilities/Authority

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Only officials delegated authority to do so in [IDA 569](#) may approve an exception to the PI eligibility requirements contained in Section 480-5: Principal Investigator Eligibility and Project Leadership or rescind a previously approved exception. Approving an exception allows an individual who is not eligible to serve as PI to submit proposals and lead awarded projects, and entrusts that individual with all of the responsibilities and obligations incumbent upon PIs.

Each official with delegated authority from [IDA 569](#) is responsible for establishing implementing procedures within their coordinating point for:

- requesting, analyzing (determining whether the request is in the best interests of the unit and UCI), and approving PI eligibility exceptions;
- determining the duration of such approvals; and
- rescinding an approved exception if a PI-by-exception does not comply with UCI/UC and/or sponsor policies, and applicable laws, regulations and governmental rules.

Such procedures must include the limitations contained in the Procedures section below.

## Procedures

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Each official with delegated authority from [IDA 569](#) may establish unit-specific procedures for requesting exceptions; however, such procedures are subject to the following limitations:

- Exception requests for students may not be approved.
- Exception requests for postdocs should only be approved when applying for and leading a small extramural grant is an approved activity of the postdoc's training program.
- Exceptions for staff employees should only be approved when the proposed activity is a public service and the individual's staff appointment and job duties are aligned with expectations associated with leading a sponsored award.

In addition, such procedures must require that each request include, at minimum, the following information:

- The proposed individual's relationship to the unit;
- A compelling reason for the request;
- A description of the proposed activities/programs, a discussion of the merit, appropriateness and significance of those activities/programs; and a discussion regarding the individual's ability to fulfill the responsibilities of a PI; and
- Confirmation that space and facilities are available for the individual's use without detriment to the regular instructional and research responsibilities of the unit.