UC IRVINE ADMINISTRATIVE POLICIES AND PROCEDURES

RESEARCH AND SPONSORED ACTIVITIES

Section 480-5: Principal Investigator Eligibility and Project Leadership

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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 480-2.1: Responsibilities for Conduct & Administration of Research for Principal Investigators and Lead Researchers](#)
    - [Section 480-5.1: Principal Investigator Eligibility Exception Requests](#)

Contacts: Executive Director - Sponsored Projects Administration (949) 824-2897
              Associate Vice Chancellor for Research Administration (949) 824-5677

Purpose and Scope

This policy outlines Principal Investigator eligibility requirements and project leadership. It is applicable to all UCI employees eligible to serve as Principal Investigator. In addition, the Project Leadership section of this policy is applicable to any employee made eligible by an approved policy exception.

Definitions

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.

Lead PI: The PI of a project as designated by a sponsor in accordance with its policy.

Investigator: A UCI employee who is responsible for a portion of the design, scientific/technical conduct or reporting of a research, training, or public service project without undertaking or assuming the responsibilities of PI.

Member of the Academic Senate: A UCI employee (regular or emeritus status) appointed to a title listed Section 105.1 of the [Board of Regents Standing Order 105 - Academic Senate](#).

University Policy

Eligibility Requirements

PI eligibility is determined in accordance with the University of California Systemwide Contract and Grant Manual (Subchapter 1-500). In addition, and with the approval of the appropriate campus official noted below, a person holding an appointment in one of the following title groups may serve as PI of a training or training-related research project:

1. Supervisor of Physical Education (APM-300) - Vice Chancellor for Research approval
2. Cooperative Extension Advisor (APM-335) - Vice Chancellor for Research approval
3. Continuing Educator (APM-340) - Dean, Division of Continuing Education approval

No other UCI employees are eligible to serve as PI.

Project Leadership

All UCI PIs are expected to lead their projects in accordance with University of California Statement of Ethical Values and Standards of Ethical Conduct and UCI Administrative Policies and Procedures Section 480-2.1: Responsibilities for Conduct & Administration of Research for Principal Investigators and Lead Researchers.

Multiple PIs - In the absence of contrary sponsor policy, UCI routinely considers all PIs listed in the proposal/funding application and/or in the award document to be equal with regard to project leadership, including equal responsibility for complying with all applicable UCI/UC policies and procedures. UCI also recognizes the authority of the PIs over Investigators participating in the project. For multiple PI projects, UCI designates the first PI in the funding application or resulting award as the "corresponding" or "contact" PI responsible for technical communications with the sponsor's personnel.

Lead PI(s) - If a sponsor's policy conflicts with UCI's routine practice of recognizing multiple PIs, UCI will recognize the individual(s) named in the sponsor's award document as the Lead PI(s). In doing so, UCI also recognizes the authority of the Lead PI(s) over other PIs and Investigators participating in the project. However, for proposal and award record keeping purposes, UCI continues to associate all PIs listed in the proposal/funding application with the award.