



UNIVERSITY OF CENTRAL FLORIDA

Office of Research

SUBJECT: Who can serve as Principal Investigator on a Sponsored Project/Grant	Effective Date: July 20, 2022	Standard Operating Procedure Number: OR-01-001
	Supersedes: NA	Page 1 of 2
	Responsible Authority: Vice President for Research	

APPLICABILITY/ACCOUNTABILITY

This guideline applies to all personnel applying to a sponsor as a Principal Investigator or co-Principal Investigator.

GUIDELINE

Full time faculty members, Emeritus faculty members, A&P staff, and post-doctoral employees can serve as a Principal Investigator or Co-Principal Investigator on a sponsored project proposed to a Federal, State, foreign or local governmental agency, commercial entity, and foundation.

Graduate student employed by the university as either Graduate Teaching Assistants/Associates (GTAs), Graduate Research Assistants/Associates (GRAs), or Graduate Associates (GAs) can serve as a Principal Investigator for any fellowship authorized by the sponsoring agency; GTAs, GRAs, and GAs also may serve as Co-Principal Investigator on any grant or proposal being submitted with a member of the university community already authorized to submit proposals. Undergraduate students can serve as a Principal Investigator under a fellowship authorized by the sponsoring agency.

Exceptions to this Policy must be processed in accordance with the procedures delineated in the Procedures section.

DEFINITIONS

Principal Investigator - A Principal Investigator or PI is the individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project.

Sponsored Proposal – Proposal submitted to an external sponsor to support research, other sponsored services and/or training services.

PROCEDURES

When individuals do not meet the criteria outlined in the Policy Statement the following exception procedure is required to appoint an employee as a Principal Investigator, Co-Investigator, Project Manager or Program Director.

1. A review by the department/unit should be conducted regarding the employee's credentials, references, and other related documents in the same manner as would be completed when hiring a faculty member, A&P staff, and students.
2. If the department/unit determines the employee is an acceptable representative of the department/unit and university, the department Chair/unit Director must send an email or written signed memo to the Vice President for Research for approval.

If the individual is not currently an employee of the university the email or written memo to the Vice President for Research must include a copy of the named individual as a Principal Investigator or Co-Principal Investigator in the proposal budget.

Requests for authorization must be received by the Vice President for Research no later than the date the proposal is due into the Office of Research for review (prior to proposal submission).

3. If the Vice President for Research approves the request, he/she will signify approval in writing and provide a copy to the department/unit with a copy to the Office of Research Pre-award Director. The approval authorization will be kept on file for internal use and placed in the award file.
4. Exception authorizations may be unrestricted or restricted. Unrestricted implies a blanket authorization to service as Principal Investigator or Co-Principal Investigator. A restricted approval refers to a particular project or specified time frame. Unrestricted authorizations require periodic review by the department/unit.
5. When unavailable, the department chair/unit director is authorized to delegate authorization, in writing, to the Associate Dean for Research.

RELATED INFORMATION

Office of Research website address:

<https://www.research.ucf.edu/research/ProposalDevelopment.html>

CONTACTS

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POLICY APPROVAL

Policy Number: OR 01-001

Initiating Authority

Signature: _____ Date: _____
Elizabeth Klonoff, Vice President for Research and Dean, College of Graduate Studies