

IV-2.00.1 UMCES Policy on Sponsored Projects and Principal Investigator Eligibility

Approved by the President, January 9, 2014

I. PURPOSE

The purpose of this Policy is to establish the eligibility criteria for who may serve as a Principal Investigator (PI) and/or Co-Principal Investigator (Co-PI) on UMCES sponsored projects.

II. APPLICABILITY AND IMPACT STATEMENT

The Office of Research Administration and Advancement (ORAA) is the UMCES office authorized by the UMCES President, pursuant to BOR Policy IV-2.00 Policy on Solicitation and Acceptance of Sponsored Projects, to submit proposals to external sponsors and negotiate the conditions of an award for a sponsored project on behalf of UMCES. An externally funded award is made to UMCES as result of a proposal submitted by UMCES in which a Principal Investigator (PI) and possibly Co-Principal Investigator (Co-PI) are identified. A proposal, and any subsequent extramural award, creates a commitment and obligations for UMCES in many ways. Principal Investigator responsibility requires individuals with the expertise and resources necessary to carry out the requirements of their awards. It is therefore incumbent upon UMCES to ensure that PIs and Co-PIs are capable of carrying out sponsored projects and activities as proposed.

This policy applies to anyone proposing to serve as a PI or Co-PI, or titles used on programs with the same level of responsibility, such as “project director” or “program director” on an externally funded project at UMCES.

III. POLICY

- A. The essential criteria for employee eligibility to serve as a PI and/or Co-PI are possession of the necessary academic or professional qualifications and the ability to carry out a sponsored project or activity, including the facilities, in full compliance with all applicable federal, state and local regulations.
- B. Pursuant to II-1.00-UMCES Policy on Appointment, Promotion, and Tenure of Faculty, UMCES faculty may serve as either PI or Co-PI as follows:
 1. All tenured/tenure-track faculty (Assistant Professor, Associate Professor, Professor and Agent, Senior Agent and Principal Agent), all ranks of the research professors (Research Assistant Professor, Research Associate Professor, Research Professor) may serve as a PI
 2. Assistant Research Scientists may serve as a Co-PI with one or more Tenure Track or Senior Research Faculty.
 3. Associate Research Scientists may serve as Co-PI and, under exceptional circumstances and with advance approval of the appropriate Laboratory Director, may serve as a PI on specified projects
 4. Senior Research Scientists may serve as Co-PI and, with advance approval of the Laboratory Director, may serve as a PI on specific projects
 5. Faculty Research Assistants at the advanced levels (Advanced, Senior and Advanced Senior Faculty Research Assistants) may serve as Co-PI under direction or sponsorship of Tenure Track or Senior Research Faculty.

6. Adjunct faculty, with prior approval by the appropriate Laboratory Director, may serve as Co-PI with at least one (1) regular UMCES faculty member at the Laboratory unit in which the appointment resides;
7. Visiting faculty, with prior approval by the appropriate Laboratory Director, may serve as Co-PI with at least one (1) regular UMCES faculty member at the Laboratory unit in which the appointment resides

C. In addition, the following positions may serve as PI:

1. Emeritus Faculty, with prior approval by the appropriate Laboratory Director
2. Maryland Sea Grant (SG) Director and, with the approval of the SG Director, a SG Assistant Director
3. Director of an Analytical Service unit, if not faculty otherwise included under this policy, with prior approval by the appropriate Laboratory Director
4. Individuals directly reporting to the President not otherwise included under this policy, as approved by the President

D. To submit a proposal for external funding, an employee must have all of the following:

1. An appointment at 50% or greater, with an exemption for Emeritus Faculty;
2. Been granted PI status or serve as a Co-PI with another UMCES faculty member serving as PI;
3. Have the physical resources necessary to complete an award;
4. Maintain compliance with UMCES, USM, State and sponsor rules and regulations applicable to extramural awards for which they are the PI or Co-PI.

E. There may be some unusual cases when it is appropriate for an employee or appointee affiliated with UMCES who is not otherwise eligible to be a PI or Co-PI under this policy (i.e. adjunct faculty, graduate students, or those authorized to be only Co-PIs) to be PIs or Co-PIs. This Section of the policy allows for requests to be submitted for an exception under this policy. It is expected that such requests would be only in cases with special circumstances and would normally be project specific. The process for such a request is as follows:

1. Request is to be made in writing to the Director of ORAA, explaining the special circumstance (i.e. sponsor/program requirement and benefit to UMCES)
2. If request is not initiated by the Laboratory Director it must be endorsed by the Laboratory Director
3. ORAA will forward with additional information as appropriate to the President for decision
4. ORAA will advise the requesting party and lab director of the decision