

 Research & Sponsored Programs UNIVERSITY OF DENVER	Office of Research and Sponsored Programs Policy Manual Principal Investigator Eligibility for Externally Funded Programs
Supersedes Document Dated: 08/02/2023; 01/01/2021	Policy Number: ORSP-19
Recommended By: Director of Sponsored Programs; Sponsored Program Academic Research Council Approved By: Senior Vice Provost for Research and Graduate Education	Effective Date: 10/10/2023

1. PURPOSE

To define which employees of the University may serve as Principal Investigators for externally funded programs or projects.

2. DEFINITIONS

- 2.1. Principal Investigator is the University employee that leads a funded program or project and is responsible for the proper conduct of research, financial management, and other activities described in the proposal, grant, contract or other instrument of agreement.
- 2.2. Faculty is a person appointed to employment by the University to fulfill teaching, research and/or creative activity, and service. Appointment is classified in the [Policies and Procedures Relating to Faculty Appointment, Promotion and Tenure](#).

3. POLICY

- 3.1. The following people may serve as a Principal Investigator:
 - 3.1.1. Faculty from the tenure, teaching, clinical, research and library science tracks.
 - 3.1.2. Research scientists.
 - 3.1.3. Post-doctoral fellows and dissertation candidates, as long as a Faculty is a Co-Principal Investigator.
 - 3.1.4. An employee approved by the Vice Provost for Research (Vice Provost).
- 3.2. The Principal Investigator is responsible for controlling the technical direction, fiscal management and academic quality of the program or project. The Principal Investigator is the University steward of the externally funded program or project and is responsible for conducting the project or program in compliance with the terms, conditions, and policies of the sponsoring entity and the University.
- 3.3. Principal Investigators must complete and keep active training in conflicts of interest and responsible conduct of research using the CITI Program training platform and any other training required by the external entity funding the program or project.
- 3.4. The Vice Provost may prohibit an otherwise eligible person from serving as a Principal Investigator in the event of financial mismanagement, failure to complete required training or research misconduct.

4. PROCESS

- 4.1. An employee that is not listed as eligible to serve as a Principal Investigator may petition for permission to serve as a Principal Investigator by making a written petition to the department chair/director. Such petition should outline the petitioner's experience, skills, research interests, and proposed project plans. Such petition must include the following at a minimum:
 - 4.1.1. The petitioner's curriculum vitae.
 - 4.1.2. A space utilization summary.
 - 4.1.3. A statement of how the program or project will further the University's mission.
- 4.2. The department chair/director will review the petition and, upon favorable review, forward the petition to the dean or other divisional leader. The dean or other divisional leader will review the petition with careful attention to the qualifications of the petitioner and the scope of the proposed research. Upon favorable review, the dean or other divisional leader will forward the petition to the Vice Provost.
- 4.3. Upon receipt of the petition the Vice Provost will review the contents and rationale in the petition. The Vice Provost retains final authority to grant or deny the petition.
- 4.4. The granting of the petition may be conditioned on satisfaction of certain terms or conditions.
- 4.5. Permission for an otherwise ineligible person to serve as a Principal Investigator is valid for the specific program or project; new permission must be sought for future programs or projects.
- 4.6. Inquiries regarding a person's eligibility to serve as a Principal Investigator should be addressed to the Office of the Provost.