

PRINCIPAL INVESTIGATOR ELIGIBILITY
August 2007
Policy 1.2.01

Policy:

Faculty and emeritus faculty of the University of Kansas Medical Center (KUMC) and The University of Kansas – Lawrence may be named by the Vice Chancellor for Research to serve as Principal Investigator (PI) or Project Director (PD) on all extramurally funded projects.

Purpose:

Research is an integral component of the University of Kansas Medical Center's mission and a portion of all faculty responsibility. As such, PIs and co-PIs are required to be faculty of the University with all of the privileges and obligations associated with such an appointment. The University of Kansas Medical Center Research Institute (KUMCRI) manages all funded research and extramurally funded programs, and monitors compliance with this requirement.

Directors, Research Associates, and Unclassified Professional Staff may be named as Principal Investigator with the approval by the appropriate chair, dean, and Vice Chancellor for Research or other designee.

Nonresident alien individuals employed by KUMC who meet the criteria may serve as PI or key personnel on a research project as long as 1). The funding agency does not have a citizenship requirement; and 2). The individual possesses, or is in the process of renewing, a visa that will allow him or her to remain in the United States long enough to be productive on the project.

Faculty not employed by KUMC may apply for a Courtesy Research Faculty Appointment:

http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/courtesy_research_faculty_appointment_policy.htm

Procedures:

Institutional approval - signature approvals at the department, school, and administrative levels - must be obtained prior to the submission of the proposal to the funding agency. See the Signature Approvals Process Procedure 1.2.01.

Definitions:

Principal Investigator (PI) or Project Director (PD): All faculty may serve (exercise the privilege of being named) as a PI or project director on proposals submitted for external support. Unclassified professional staff may qualify to serve as PI; however, justification to designate a person other than a faculty member as principal investigator must be approved by the appropriate chair, dean, and Vice Chancellor for Research or other designee prior to submission of a proposal for external funding. The PI is responsible for compliance with all the specific requirements of both the sponsoring agency and KUMC. In all cases, institutional approval must be obtained prior to the submission of the application to the funding agency. In accordance with NIH guidelines, multiple KUMC faculty members may be designated as co-PIs who share the authority and responsibility for leading and directing the projects, intellectually and logistically. Each faculty co-PI is responsible and accountable to the applicant organization, or, as appropriate, to a collaborating organization, for the proper conduct of the project or program including the submission of all required reports. The presence of more than one identified faculty PI or co-PIs on an application or award diminishes neither the responsibility nor the accountability of any individual PI.

Research: Including, but not limited to, investigational studies of drugs or devices, laboratory studies, student research, behavioral, and outcomes research.

Responsible Parties:

Principal Investigators must comply with federal, state and local laws and regulations, as well as those policies implemented by the University and the Research Institute. Principal Investigators are responsible for ensuring that their staff are aware of and comply with all applicable laws and policies.

Related Policies and Links:

KUMC Faculty Handbook <http://www2.kumc.edu/aa/fa/pdf/Handbook.pdf>

KUMC Research Institute Courtesy Research Faculty Appointments Policy:

http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/courtesy_research_faculty_appointment_policy.htm

KUMC Research Institute Procedure 1.2.01: Signature Approval Process:

http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/PI%20Eligibility%20Signature%20Approval%20Process.pdf

Contacts:

Vice Chancellor for Research: 913-588-7068

Associate Vice Chancellor for Research Administration: 913-945-6636

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