

Origin





- (iv) Other exceptions to this policy can be made and require approval of the appropriate cognizant Dean or Institute Director.

In some cases, a sponsoring agency may have restrictions for who may serve as a PI on a particular project or program that are more stringent than this PI Eligibility policy requirements will take precedence over institutional guidelines for that particular project. In the case where a sponsor may require, allow, or expect an individual to serve as a PI who, under normal UAF guidelines would otherwise not be eligible, the individual will have a tenure track faculty member serve as a Co-PI for internal purposes and assume responsibility for compliance with sponsor and institutional requirements. Fellowships or other training awards are examples where sponsor and institutional requirements may conflict.

An exception to this policy is any application for a student fellowship or other application opportunities where the student is expected or required to be the applicant. Students submitting funding proposals shall:

- fulfill all UAF requirements for new principal investigators prior to proposal submission;
- submit a completed "PI Policy Exemption (PIE) Form" signed by the dean or director of the unit responsible for financial management of the grant if awarded;
- submit the signed "PI Policy Exemption (PIE) Form" with their proposal to the unit appropriate unit business office; and
- once awarded funding, comply with all UAF and sponsor requirements.

Exceptions are granted only on a project by project basis or, in certain unusual cases, for a limited time period. Blanket exceptions are can be granted in truly exceptional cases and need to be approved by the Vice Chancellor for Research (VCR).

## **PROCEDU**

the \_\_\_\_\_, as applicable, for internal tracking and monitoring purposes. Please note that such faculty advisor must be a member of the graduate \_\_\_\_\_ to sign off on the request for PI Status form; and such request must still be signed by the cognizant Dean or Institute Director.

Under these circumstances, OGCA refers to the graduate student or postdoctoral fellow in the ***PI of Record and requires a faculty mentor to shepherd the proposal and award through internal systems.*** All internal records will reflect the faculty mentor as the primary PI; the faculty mentor PI is ultimately responsible to the University for the technical and fiscal oversight of the project. A formal request for exception is not necessary to be listed as *PI of Record* on internal records.

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## **DEFINITIONS**

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**Cognizant Dean or Institute Director:** Reviews and approves requests for exceptions to this policy.

**Office of Grants and Contracts Administration:** Approve all proposal submissions indicating eligible principal investigators, co-principal investigators, or program directors ensuring that all eligibility approvals are properly documented.

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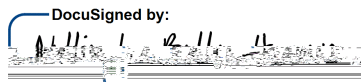
**NON-COMPLIANCE**

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Failure to comply with this policy and/or associated procedures may result in missed submission deadlines. Fabrication, falsification, or plagiarism in a funding proposal is considered to be research misconduct and is grounds for disciplinary action by the university and, if applicable, suspension or termination of research, referral for misconduct proceedings, and/or reporting to state and federal regulatory and/or funding agencies. Any disciplinary action taken by the university will follow the employment rules governing the individual's employment category.

Failure to comply with research committee requirements and/or failure to maintain an active protocol will result in suspension of access to sponsored funds, return of funds to sponsor(s) and/or a negative report being sent to the sponsor and/or federal regulatory agencies.

POLICY APPROVED BY:

DocuSigned by:  
  
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June 16, 2021

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Name  
Vice Chancellor for Research  
University of Alaska Fairbanks

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Date