

PROCEDURE FOR APPROVING UMBC EMPLOYEE'S PRINCIPAL INVESTIGATOR STATUS

Reference: [UMBC Policy on PI Eligibility # IV-2.00.03](#)

General Overview:

UMBC, Office of Sponsored Programs (OSP) will use Kuali as the system of record for proposals, the roster for UMBC's Principal Investigators, and for any PI training requirements.

The Office of Sponsored Programs (OSP) notification of award to the Office of Contract and Grant Accounting (OCGA) will represent OVPR/OSP's approval of the PI and Co-I's identified.

Please note, the [PeopleSoft \(PS\) Finance Security Access form](#) is required for UMBC employees who are Principal Investigators in order to access PeopleSoft Finance. A lack of a completed PS Finance Security Access Form will delay award set up. The standard process for completing the PS Finance Security Access form should be followed. The form is approved by the individual's Supervisor and is then submitted to Financial Services.

In addition to the requirements defined in the PI Eligibility Policy, effective August 1, 2012, all new PI's are required to take [Principal Investigator Research Administration Training and Education \(PIRATE\)](#) before being granted PI status. Proposals will be processed without completing PIRATE, but Awards will be held for any new PI or Co-I who has not completed PIRATE.

Process - Supervisor/Individual:

New Employees: If the supervisor believes an individual should be given PI status, the [PeopleSoft Finance Security Access form](#) and * [PI Eligibility Request form](#) should be completed. Minimum approval/signature of chair or equivalent is required on the PI Eligibility Request form. Some units may also require Dean approval (depending on your unit requirements). **Waiting until a proposal is about to be routed is too late and will prevent the PI from being able to route a proposal in Kuali.** If being a PI is a condition of hire, the PI Eligibility Request Form can be completed prior to hire, noting this as the justification for why the appointment letter is not attached. The PI Eligibility Request form and process is housed in DocuSign. The system has been set up to walk you through the process. The originator will be notified by DocuSign if the request is approved or declined. If declined, go into the DocuSign document using the email link and click on Other Actions and History to see the reason for the decline. If it is declined, you will be required to start over.

Please note: Kuali is electronically provided with UMBC employee names from PeopleSoft Human Resources (HR) daily based on their Job Code. So, a PI needs to be hired and HR needs to assign a Job Code in order for them to be included in the daily feed from PS to Kuali. OSP staff are not able to grant a person PI status in Kuali until the employee name is fed to Kuali from PS.

Existing employees: Those who currently have PI status as of July 2012 will maintain PI status as allowed by the PI Eligibility Policy. If an existing employee requires PI status, they would be considered a new PI and a * [PI Eligibility Request form](#) and revised [PeopleSoft Finance Security Access form](#) (If PS Finance access is not already granted) should be completed.

PI's on non-active leave codes (i.e. Sabbatical, terminal leave, etc.):

Any time a PI leaves UMBC permanently or temporarily, or is otherwise disengaged the unit's business office needs to contact their OSP representative to make sure any award conditions are met. UMBC units should work with Faculty Affairs to make sure the leave status allows for the individual to be a PI while on leave. For example, being a PI on an extramural award while on

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sabbatical must be part of the approved sabbatical plan. OSP will not allow someone to be a PI on leave without appropriate approvals.

Office of the VP for Research (OVPR/OSP) Internal Process:

The Manager will receive a request from the Unit via DocuSign to approve a PI Request. OSP has the authority to approve automatic PI approvals if the person needing PI status meets the policy requirements. If the unit is requesting an exception to the policy, OSP should make sure all required documentation is provided before approving. DocuSign has been set up so that after OSP signs, exception requests go to the VPR for final approval. The OSP Associate will notify the appropriate OSP Manager of PIRATE completion. As necessary, the OSP Manager will follow up with the unit if a PI Eligibility (PIE) request from has not been received, or if the person needing PI status is not in KualI (which could mean they have not been added to PS yet).

CHECKING ELIGIBLE PI LIST IN KUALI -Navigate to the System Admin Portal > Maintenance > Miscellaneous > Person Training.

At "Training" drop down choose PI Eligible

At "KC Person" search on PI name.

If you just do a search on the PI Eligible Training type and no name you can get the entire list of eligible PIs. Also see - [PI Eligibility Search Quick Reference Card](#)

Declining a Request - If either OSP or the VPR decline the request, that option is available within DocuSign under "Other Actions" in the upper right-hand corner. DocuSign will request you to confirm and request a justification for the decline. DocuSign will then send an email to the originator.

Approving a Request - Once approval is provided by OSP, or the VPR, when there is an exception, DocuSign will send a notice to the originator, OCGA and the OSP Manager notifying them of the approval. The OSP Manager will notify the OSP Associate to add PI Eligible to the KualI training record for the individual. .

Removing Someone as PI Eligible:

The unit business office or Department Chair must notify their OSP representative if they believe someone should no longer have PI status. In situations where a Principal Investigator no longer meets the PI criteria as defined in the policy, it is necessary for the unit business office, OSP and OCGA to take appropriate action regarding any active awards or proposals in KualI.

The PeopleSoft Finance Security Access form includes a "Remove" box available in situations that require an employee be removed as Principal Investigator in PS.

- * If the hyperlink does not work, cut and paste the following URL directly into your browser <http://my.umbc.edu/go/602> Or, go to <https://support.microsoft.com/en-us/help/218153>. If you scroll down the page a little there is a downloadable msi that patches a registry gap that causes SSL redirects to fail.