Office of Research and Sponsored Programs
University Massachusetts Boston
100 Morrissey Boulevard, Boston, MA 02125-3393
P 617.287.5370 | www.umb.edu/ORSP

Author: ORSP
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Investigator Policy

I. Policy Statement

This policy outlines the roles, responsibilities, and expectations throughout the grant lifecycle for Principal Investigators (PIs) and Co-Principal Investigators (Co-PIs) involved in research programs at the University Massachusetts Boston. It aims to ensure the highest standards of stewardship, integrity, compliance, and effectiveness in the conduct of research, facilitating a collaborative environment that fosters innovation, accountability, and the advancement of knowledge.

II. Scope

This policy applies to all faculty, staff, and researchers serving in the capacities of PI and Co-PI on research programs administered by or associated with the University of Massachusetts Boston, regardless of the source of funding or the nature of the research. It encompasses all basic and applied research in all areas including STEM, social sciences, the arts and humanities, training and public service.

Investigator Roles

See the ***Investigator Handbook*** in the ORSP PI Toolkit (Investigator Eligibility section) for comprehensive guidance on investigator roles and responsibilities.

Investigator Roles Include:

Principal Investigator (PI, MPI)

The Principal Investigator (PI) and/or Multi-Principal Investigator (MPI) is charged with conducting objective research that generates independent, high quality, and reproducible results. The PI/MPI is responsible for the management and integrity of the design, conduct, and reporting of the research project and for managing, monitoring, and ensuring the integrity of any collaborative relationships. Additionally, the PI/MPI is responsible for the direction and oversight of compliance, financial, personnel, and other related aspects of the research project and for coordination with school, department, and central administration personnel to assure research is conducted in accordance with federal regulations and university and sponsoring agency policies and procedures.

The PI/MPI reports to a designated official such as a department chair, center director or dean.

Co-Principal Investigator or Co-Investigator (Co-PI/Co-I)

Co-PIs/Co-Is are key personnel who shares scientific and administrative leadership responsibilities for a program with the PI. While the PI has ultimate responsibility for the conduct of a research program, the Co-PI/Co-I is also obligated to ensure the program is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

PI/Co-PI/Co-I Role Responsibilities

Each PI and Co-PI certifies with every proposal submission that all information provided is true and complete and that the proposal conforms to the University policies and procedures applicable to sponsored activities. In order to be certified as a PI or Co-PI, a researcher must confirm that he/she will comply with all regulatory compliance directives; that all information submitted within the proposal is true, complete, and accurate to the best of his/her knowledge; that any false, fictitious, or fraudulent statements or claims may subject the investigator(s) to criminal, civil, or administrative penalties; and that the investigators(s) agree to accept responsibility for the conduct of the project and to provide all required reports as applicable if a project is awarded as a result of the proposal.

Upon accepting the award, each PI, Co-PI must also confirm that he/she will be responsible for project management of the award and agree to carry out the project with the highest professional standards and within the time period awarded. The PI assumes responsibility to read, understand, and comply with all the terms and conditions contained in the award. Finally, the PI must confirm that he/she understands his/her responsibility to abide by university and sponsor policies, procedures, and directives for the proper administration of sponsored projects.

III. Required training

Investigator Training	Resource	Applicability	Timing
Conflict of Interest (COI)	CITI	Required for Eligibility	Onboarding/Proposal Stage
Responsible Conduct of Research (RCR)	CITI	Required for Eligibility	Onboarding/Proposal Stage
Kuali Proposal Development-Approver	ORSP	Required	Proposal Stage
Research Security Training	CITI	Required	Proposal Stage
Export Control	CITI	Required	Award Stage*
Information Privacy Security	CITI	Required	Award Stage
SUMMIT	ORSP	Required	Award Stage
PI Intensive	SRAI**	Optional	Onboarding/Proposal Stage

*Federal
**Funded by Unit

IV. Investigator Eligibility Application

All investigators must apply for eligibility, showing they have satisfied their required training and attesting they commit to fulfilling their responsibilities with honesty, integrity, transparency, and ethical conduct. Eligibility applications are managed through Kuali Build electronic form routing.

See the ***Investigator Application*** in the ORSP PI Toolkit (Investigator Eligiblity section)

Investigator Eligibility Matrix

The Matrix below contains investigator eligibility levels associated with various HR appointment types and positions at UMass Boston. The table has three main sections: Eligible, Eligible with Approval, and Not Eligible.

Each of these sections is categorized with examples below the category headers. See Appendix A for HR appointment definitions.

Sponsor level eligibility guidelines may be different than the university's. In cases where the sponsor's published eligibility requirements include appointments or positions that are deemed ineligible in this policy, ORSP may allow proposal submissions in accordance with the sponsor's eligibility criteria. Upon notification of award, UMB will assign an eligible PI in accordance with the university policy (i.e. graduate research programs, post-doc training grants, student fellowships with faculty mentors listed as PI and reference the student).

Status:	**Eligible**			**Eligible With Approval**		**Not Eligible**	
Appointment Type:	**Tenure & Tenure-Track Faculty**	**Research Faculty**	**Professional Staff***	**Non-Tenure Track Faculty**	**Other**	**Students**	**Non-Faculty & Other Staff**
HR Position Titles:	Tenure-track Assistant, Associate, & Full Professors	Research Assistant Professors	Senior Research Fellows	Lecturers	Post Docs	Undergraduate Students	Contingent Workers**
	Tenured Associate, & Full Professors	Research Associate Professors	Research Scientists	Clinical Professors	Emeritus	Graduate Students	Classified Staff
	Chairs, Deans, Directors & Provosts	Research Professors	Center/Institute & Program Directors		Visiting Professors		
	Incoming Faculty		Research Associates				
			Librarians				

*Excluding Temporary Professional Staff.

**Contingent workers who will be appointed to an award as Faculty or Staff are eligible for proposal submissions, the appointment must be completed to hold an award.

V. Resources

Helpful Links

Office of Research and Sponsored Programs Website
Federal Uniform Guidance eCFR Glossary
Grant Terminology from Grants.gov
FSU Academic Personnel Policy "Red Book"
See the Investigator Application in the ORSP PI Toolkit (Investigator Eligiblity section)
UMass Boston Research Compliance - Responsible Conduct of Research
University of Massachusetts Board of Trustees Policies

- Policy for the Development and Administration of Grants, Contracts and Cooperative Agreements for Sponsored Programs. (T94-034)
- University of Massachusetts Boston Policy on Research Professorships. (T02-024)
- The University of Massachusetts Intellectual Property Policy (Amherst & Boston). (T96-040)