

**Eligibility Criteria for Principal Investigators** The *Principal Investigator* (PI) exercises oversight and is responsible for all financial, technical, ethical, professional, and regulatory compliance aspects of a sponsored program or non-funded research project. Serving in the capacity of PI is a privilege limited to individuals with the appropriate technical competence and administrative authority to oversee a sponsored program. Some extramural funding agencies (e.g., NIH) allow applicants/institutions to identify more than one PI on a single grant application to encourage collaboration among equals.

Co-PIs make substantial intellectual contributions to developing proposals and conduct aspects of a sponsored program that require their unique expertise and administrative authority. Individuals must meet the criteria to serve as a PI to be eligible to serve as a Co-PI.

Key Personnel are those identified on a proposed project who are responsible for the design, conduct or reporting of research. They may or may not be compensated as part of the project. They will have to meet all university reporting requirements, including conflict of interest.

Faculty Participants on sponsored programs are those individuals who lend time and expertise to a sponsored program but who did not make a substantial intellectual contribution to the proposal or for whom conducting research is not a core job duty. Faculty Participants need not meet the criteria to serve as a PI, yet they are expected to adhere to ethical, professional, and regulatory requirements of the research project. Individuals who are otherwise qualified to serve as Co-PIs may serve as Faculty Participants.

All submissions requesting funding for research, training, service, or other sponsored projects must include an eligible PI. Submissions for funding include formal proposals, white papers, and letters of intent. This policy applies to both funding requests presented to external agencies and to intramural funding programs.

Doctoral students and residents seeking funding for fellowships, tuition, or support of research leading to the dissertation or similar requirement may serve as PI when a full-time faculty member serves as the responsible PI, which is to be indicated on the proposal transmittal form. The Responsible PI must ensure adherence to the terms and conditions of the grant or contract.

#### **ELIGIBILITY**

- All full-time teaching and research faculty members (tenure track), self-supporting research professionals, community faculty, or incoming tenure-track teaching and research faculty members who have signed full-time contracts are eligible to be PIs.
- MOUs may confer eligibility to researchers at partner organizations (e.g., Jefferson Labs) to serve as a PI.
- Emeritus Professors and Emeritus Associate Professors may serve as PI in accordance with the requirements in the policy on Emeritus/Emerita Appointments on projects related to their faculty expertise and departmental priorities.
- Administrators holding the titles of Vice President, Executive Vice President, Associate Vice President, Senior Associate Vice President, Assistant Vice President, Vice Provost, Dean, Dean of University Libraries, Associate Dean, Assistant Dean, Executive Director, Director, or similar administrative titles may serve as a PI on projects related to the mission and responsibilities of their offices.

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ready for Faculty Senate review

We made a few changes and discussed these with Shannon Robinson.

Also in consultation with Shannon, we added a paragraph for Key Personnel, which is different from Faculty Participants.

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5. Only Administrative and Professional Faculty who hold titles of Research Professor or Research Scientist at the rank of Assistant or above are eligible to serve as PI. Administrative and Professional Faculty normally participate in sponsored programs as Faculty Participants.

6. Only Lecturers, clinical faculty, and other faculty who hold titles of Research Professor or Research Scientist at the rank of Assistant or above, or are licensed healthcare professionals conducting research related to the mission and responsibilities of their office are eligible to serve as PI.

7. Persons holding the following titles in the absence of a faculty appointment as noted above are not eligible to be a PI: Associate Director, Assistant Director, Postdoctoral Associate, Visiting Professor at any rank, or Research Associates.

8. Exceptional requests may grant PI status on a specific project to individuals who do not otherwise meet the criteria set forth in this policy. In the Division of Academic Affairs, the unit head may request an exception. The college dean and the provost and executive vice president must approve the request. For those in other areas, the unit head may forward a request to the corresponding vice president for final approval. The curriculum vitae of the prospective investigator must be included with the request, must be included with the request.

9. Exceptional requests may grant PI status to individuals or a class of individuals on a temporary or ongoing basis upon recommendation by a Dean and approval by both the appropriate Executive Vice President and the Vice President for Research and Economic Development. Examples include medical professionals from collaborating agencies, courtesy faculty appointments in industry, affiliate faculty appointments, community faculty, or to accommodate the addition of research expectations to an existing class of employees.

10. Sponsored Programs will maintain a list of individuals who are eligible to serve as PI or co-PI. The list will note if the permission is for a one-time-only basis or for a more extended period. Sponsored Programs will send this list upon request to the appropriate executive vice president, Vice President for Research and Economic Development, and Deans.

11. Protocol review committees (IRB, IACUC, IBC, RSC) may allow others to serve as PI on projects as outlined in the standard operating procedures for those committees.

12. Persons must have an annual Conflict of Interest (COI) disclosure on record in the official University system that is regularly updated to maintain eligibility.

## DUTIES AND RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR OF A SPONSORED PROGRAM

### Pre-Award responsibilities

As a primary member of the proposal team, the PI will

- Provide timely notification of the intent to apply for a funding opportunity
- Direct and coordinate production of proposal components from co-PIs and external partners
- Collaborate with the Sponsored Programs Administration which functions through the ODU Research Foundation on proposal development & submission support, including developing the project budget. See the Division of Research & Economic Development website at [www.odu.edu/research](http://www.odu.edu/research) for more information on Sponsored Programs Administration.

### Post-Award responsibilities

- Execute the project as outlined in the funded proposal using sound management techniques

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- Implement the project's financial plan as represented in the funded proposal, or seek approval for changes in the plan following the methods prescribed in the terms and conditions of the award
- Produce any cost share documentation identified in the project budget
- Report project progress to the sponsor as outlined in the terms of the award
- Timely disclose to the Division of Research and Economic Development any intellectual property developed in the conduct of the project
- Comply with all ODU, ODU Research Foundation (through which Sponsored Programs conducts its work), and sponsor policies and procedures related to project management, personnel practices, and regulatory committee requirements (e.g., disclosure of conflicts of interest and reviews by IRB, IACUC, etc.).
- Comply with all applicable sponsor rules, regulations, and terms and conditions of the award.

Commented [A24R23]: Also, why is it required to disclose IP? Can't the researchers go ahead and publish the work if they don't want to pursue a patent?

Commented [A25R23]: [Mention was removed] suggest striking this.

Commented [A26R23]: Gail will talk to ODURF

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This may not be true. Need to check who wanted to add this.

Page 1: [3] Commented [A5R3] Author

[Mention was removed] FYI, <https://grants.nih.gov/grants-process/plan-to-apply/consider-your-idea-resources-and-collaborators/multiple-principal-investigators>

I believe this might have been raised by Anca Dobrian in the IMO.

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After discussion we just decided to leave it. Does no harm.

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Should be placed in the first part of the document after the first instance of “principal investigator.” PI should be used thereafter throughout the policy.

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Page 1: [13] Commented [A11] Author

Here we removed "community faculty". Whatever that is they would have to have their PI rights established by applying for it.

Are SSRPs automatically PIs? I thought they also had to request approved by OR.

Similarly are Research Professors or Research Scientists automatically afforded the right to be PI?

Page 1: [14] Commented [A12R11] Author

After discussion with Shannon Robinson it is clear that we need to restore community faculty (long story). She also said that the process of appointing SSRF and Research faculty constitutes approval for them to PI. So all SSRF and research faculty can be PIs. This sentence is accurate as is.

Page 1: [15] Commented [A13]

Author

Presumably this is referring to faculty members before they start. If so, perhaps "incoming" may be better than "new" since new can also refer to faculty members after they start.

Page 1: [16] Commented [A16]

Author

We added this to account for faculty who are afforded PI rights through MOU.

Page 1: [17] Commented [A17R16]

Author

According to Shannon this is OK but banner needs to include these people appropriately. That is the challenge ODURF has. This sentence is OK.

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Page 2: [22] Commented [A18]

Author

Are there lecturers with the title of research professor or research scientist?

Page 2: [23] Commented [A19R18]

Author

This is the "other faculty" catch-all. You could have someone who is half lecturer and half research faculty. We decided to leave it.

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Author

Actually we should keep Provost and delete appropriate executive vice president since this refers to within academic affairs.

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