

#### **4.26 Principal Investigator Guidelines** (Approved by Cabinet, July 2010)

As defined in the 2010-2011 Faculty/Staff Handbook, located at

<http://www.rowan.edu/provost/aft/documents/2010-11%20Faculty%20Staff%20Handbook.pdf>

##### **Definition of a Principal Investigator**

Principal Investigators (PIs) are responsible for conducting their projects in accordance with the terms and conditions of the sponsoring agency and the policies of the University, including providing the proper stewardship of sponsored funds, submitting technical reports and deliverables, and properly disclosing all inventions to the Associate Provost for Research, in accordance with federal policy and contractual terms.

The PI of an external grant or contract must be a permanent employee (faculty member or staff member) of the University at the time of sponsored program award acceptance and project execution. Ordinarily, the PI of an external grant or contract must also be a permanent employee of the University at the time of proposal submission, although exceptions to this may be made for new faculty and staff hires.

An essential qualification of the individual who proposes to head an extramurally supported research, training, or public service project is that he or she will personally participate in it to a significant degree. It is contrary to University policy, and is viewed with extreme disfavor by sponsoring agencies, to list as head of a project the name of an individual, however prestigious that person may be, who will contribute only a minimum or nominal portion of their own time and effort to the furtherance of the work. On occasion, a PI may have one or more Co-Principal Investigators (Co-PIs) who share with him or her responsibility for participatory conduct of the project.

##### **Eligibility for Principal Investigator Status**

PI status is granted to all regular full-time faculty and staff, including emeriti, librarians, and professional and support staff, and administrators of the University of all managerial ranks. All administrators may be listed with faculty as PIs or Co-PIs. Any time spent engaging in the work of a PI on grant activities by professional, support, or administrative staff must be performed as overload and not within the confines of regular assigned activities, unless there is prior approval of the cognizant Vice President and ensuring there is no additional compensation provided for such activities. Post-doctoral fellows, lecturers, adjuncts, and instructors may be eligible for PI status in certain circumstances as described below. Visiting scholars will not be granted PI status under any circumstances. Student Investigators are not eligible for PI status, but may be permitted to conduct sponsored projects under the direction of a faculty advisor.

##### **Process for a Petition to Grant Principal Investigator Status**

Individuals who do not meet University eligibility requirements may be granted PI status by the Associate Provost for Research based upon the applicant's experience, skills, research interests, and project plans. The petition for PI status is not a routine procedure and must be 78

specifically approved on a case-by-case basis. A petition to request PI status should be submitted to the respective dean or vice president for first review and approval.

The applicant's review package must include:

- A letter of endorsement from a senior faculty member;
- A letter of endorsement from the department chair;
- The approval of the respective dean or vice president;
- The applicant's curriculum vitae; and
- The applicant's written request for consideration which must include the research plan, the proposed sources for external support, a space utilization summary, and a statement of how the project will further the University's mission.

### **Eligibility for Co-Principal Investigator Status**

A Co-PI is an individual involved with the PI in the scientific development or execution of a project. A Co-PI typically devotes a specified percentage of time to the project and is considered "key personnel." The designation of a Co-PI, if applicable, does not affect the PI's roles and responsibilities as specified in this policy statement. Academic tenure-track, adjunct, emeriti faculty, employees with term appointments (e.g., lecturers, instructors, post-doctoral associates, etc.), and other regular employees can all serve as Co-PIs on sponsored projects.