



CHAPMAN UNIVERSITY



**Principal Investigator (PI) Eligibility Policy
Research Office**

Version: December 9, 2016

Purpose

This Policy is intended to set forth the eligibility requirements of a Principal Investigator (PI) at Chapman University (CU). This Policy also describes the processes for requesting and approving exceptions to the PI eligibility requirements

Definition of Principal Investigator

A Principal Investigator is responsible for the intellectual direction, design, scientific or technical conduct, administrative conduct, and reporting of a research, training, or public service project. As such, the University recognizes one individual as the Principal Investigator and he/she must personally participate in the project to a significant degree and provide oversight on project activities. Proposals submitted for extramural funding or to the University regulatory oversight committees must name an eligible employee of the University to serve as Principal Investigator. In order to be designated as the PI on a proposal, sponsored project, or Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC) protocol, an individual must be PI eligible.

The majority of funding agencies recognize only one Principal Investigator. In those instances where several names are listed in the proposal, the agency assumes that the first name listed is primus inter pares (first between equals).

Other collaborating researchers who carry out portions of the project are considered to be Co-Principal Investigators (Co-PI) or Co-Investigators (Co-I). In order to serve as Co-PI or Co-I, an individual must be PI eligible. Although the PI may delegate fiscal or administrative aspects of the project to a Co-PI or Co-I, the PI still bears primary responsibility for the project.

In the event of an apparent conflict between policies of the University and the funding agency, the more restrictive policy shall be followed.

Appointments Eligible for Principal Investigator Status

- Faculty with Full-time (>30 hours) status including, tenure track, tenured, research, and clinical.
- Administrators
- Librarians, Associate Librarians, Assistant Librarians
- Faculty with Emeritus status
- Provost and Presidential Fellows
- Academic Professionals in the Research Scientist series (Sr. Research Scientist, Research Scientist)

Appointments That Require Prior Approval for Principal Investigator Status

Anyone who wishes to serve as Principal Investigator, but does not meet the eligibility criteria set forth above, must receive approval from the Vice President for Research upon the recommendation of their Dean, Director or Vice President in order to serve in the Principal Investigator Role. The individual must have the necessary experience and independence to compete for his or her own sponsored program and/or to administer the project. They must have previous experience with similar types of research projects and the ability to comply with all the requirements of the award or project. These individuals include, but are not limited to:

- Faculty with visiting appointments of less than the term of the grant if awarded
- Affiliated Scholars with non-employee status on courtesy appointments
- Faculty with full-time status who are identified as instructional faculty
- Appointees salaried at less than full time status including adjunct faculty or lecturers
- Postdoctoral scholars or trainees
- Research Associates

Appointments That Are Non-Eligible for PI Status

- Graduate Students. Faculty advisors or mentors will be designated as Principal Investigators for graduate student fellowships or traineeships awarded as grants to the university.
- Research Assistants
- Undergraduate Students

Requesting an Exception

To request an exception to the PI policy, a formal request must be made to the Vice President for Research via email to include the following:

1. Current Curriculum Vitae
2. A copy of their Appointment Term or Faculty Contract
3. Summary Statement of the proposed project
4. Recommendation of Dean, Director or Vice President. Recommenders should carefully consider whether the PI requesting exception has the ability and experience necessary to administer the project if the exception is approved. If department or college resources are needed, assurance must be given that the necessary space or other resources will be provided or made available for the entire length of the project.