



RESEARCH DEVELOPMENT AND ADMINISTRATION

Policy/Procedure No:	04-00-005.100
Policy/Procedure Name:	Principal Investigator Eligibility
Effective Date:	July 1, 2016
Last Review Date:	June 14, 2016

PURPOSE: This policy is to ensure that individuals named as Principal Investigator (PI) on a Sponsored Project, or Protocol (Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC)) at OHSU have sufficient authority, appropriate background and accountability to carry out all aspects of the Sponsored Project or Protocol including assumption of fiscal responsibility.

POLICY:

**Summary of Principal Investigator Requirements
For Sponsored Projects and IRB, IACUC, and IBC Protocol Submissions**

Position at OHSU	Eligible as PI on a Sponsored Project?	Eligible as PI on IRB, IACUC or IBC Protocol Submission?
OHSU Faculty in the Professorial, Research, or Instructional Series, as defined by OHSU Policy 03-15-020	Yes	Yes
Other OHSU employees where sponsored project activities are within scope of employment or licensure	Yes, on a case by case basis with written approval from Dept. / Institute / Unit Head & Provost	Yes, on a case by case basis with written approval from Dept. / Institute / Unit Head, & Provost
Post-Doctoral Research Fellows	Yes on sponsored projects aimed at Post-Doctoral Research Fellows	No
Pre-Doctoral Students	Yes for sponsored projects specifically directed to Pre-Doctoral students	No

1. Principal Investigator Eligibility:

OHSU Faculty - Individuals holding an OHSU Faculty appointment in the Professorial, Research, or Instructional Series as defined in OHSU policy 03-15-020 are eligible to act as a Principal Investigator (PI) on sponsored projects & protocols at OHSU.

Other OHSU Employees: Individuals who are not otherwise eligible per above, where sponsored project and/or compliance protocol activities are within the scope of the individual's appointment and or licensure, may be eligible to qualify as PI on sponsored projects on a case by case basis by obtaining approval from the Provost after receiving written approval from the responsible OHSU academic department chair, institute director, or unit head assuming responsibility for administrative issues, including all financial matters.

Post-Doctoral Research Fellows - Are eligible to act as PI on sponsored projects specifically directed to Postdoctoral Research Fellows; however, in no situation may Postdoctoral Research Fellow's act as PI of an IACUC, IRB, or IBC protocol. The individual's mentor or another individual must meet the requirements for PI eligibility and be named the PI on the associated IRB, IACUC, or IBC protocol.

Pre-Doctoral Students - Are eligible to act as PI on sponsored projects specifically directed to Pre-Doctoral Students; however, in no situation may students act as PI of IACUC, IRB, or IBC protocols. The student's mentor or another individual must meet the requirements for PI eligibility and be named the PI on associated IRB, IACUC, or IBC protocols.

2. Exceptions:

Non-OHSU Employees: Not otherwise eligible to be PI's in the OHSU Faculty section above, generally are not eligible to become OHSU PI's and as such are not listed in the Summary of Principal Investigator Requirements in the beginning of this policy. In extenuating circumstances, individuals may be eligible to qualify as PI on sponsored projects or compliance protocols on a case by case basis with written permission by the Provost; and the responsible OHSU academic department chair, institute director, or unit head assuming responsibility for administrative issues, including financial matters.

Multiple PI and Multiple Project Situations: All named award level PI's shall qualify to act as PI per the above requirements (e.g. For a Multi-PI award from NIH all where there are multiple OHSU PI's, each PI is subject to the eligibility requirements above). However, individuals serving as project directors, program managers, etc on Multi-project grants such as center grants and program project grants, who hold OHSU Project PI status, but are not listed as PI on the application or sponsored agreement are not subject to the PI Eligibility requirements of this policy.

Career Development (K) Awards: Have additional specific requirements to be eligible to serve as PI on the Award. For further information on these type of awards refer to the [Career Development Award policy](#).

Co-Investigators: On sponsored projects are not subject to these PI eligibility requirements.

Sponsored Project Financial Support: Individuals acting as an OHSU PI who are not OHSU employees may not budget for, or receive financial compensation off a Sponsored Project. To receive compensation, those individuals must become OHSU employees.

- 3. Timing Requirements:** PI eligibility must be met at the time of the Sponsored Project application and Protocol submission. For Sponsored Project applications there is an exception when specifically permitted by the published guidelines of the funding mechanism, or the application is accompanied by a letter from the OHSU academic department chair or institute director, with a copy to the Dean, specifying that the applicant will be PI eligible at the time of the award. Postdoctoral fellows, postgraduate trainees or faculty at other institutions recruited to OHSU are not eligible to submit awards that require a faculty appointment at OHSU unless they can obtain a letter from their Department chair stating a faculty appointment at OHSU and adequate space and resources to conduct the sponsored project will be in place at the time of the award to OHSU.

- 4. Investigator Responsibilities:** All investigators must be authorized on a project-by-project basis to conduct sponsored projects at OHSU by acquiring the requisite signatures on the [Proposed Project Questionnaire \(PPQ\)](#). All PIs are obligated to adhere to the responsibilities of a PI as outlined in OHSU's [Code of Conduct](#).

RELATED DOCUMENTS/REFERENCES:

OHSU's [Code of Conduct](#)

Research Development and Administration Form - [Proposed Project Questionnaire \(PPQ\)](#)

[Career Development Award policy](#)

REVISION HISTORY: 7/28/06, 11/21/06