

# East Tennessee State University

Policy Title: Project Director/Principal Investigator (PD/PI) Eligibility

Issued: 4/30/14

Responsible Official: Vice Provost for Research and Sponsored Programs

Responsible Office: Office of Research and Sponsored Programs

## Policy Statement

The following Statement of Project Director/Principal Investigator Eligibility provides institutional requirements for who may serve as a Project Director/Principal Investigator on an externally sponsored project at East Tennessee State University. Any individual who holds a full-time position including, but not limited to the ones listed below, may be identified as a Project Director/Principal Investigator for sponsored activities:

- Tenure track faculty (full, associate, and assistant professors)
- Non-tenure track research faculty (full, associate, and assistant research professors)
- Director of a state designated University Institute or University Center

On a case-by-case basis, the Department Chair and Dean can recommend an individual who holds one of the positions listed below as a Project Director/Principal Investigator for sponsored activities **IF** one of the individuals listed above is also named as a Co-Principal Investigator on that project:

- Instructors
- Adjunct/Affiliate faculty
- Emeritus faculty
- Part-time Faculty  $\leq$  50% appointment

Approval of the Vice Provost for Research is required when an individual in one of the positions on the latter list will serve as a Principal Investigator/Project Director.

Fellows and students may be the "Principal Investigator" on a Fellowship or Training grant application, but must have a faculty sponsor/mentor assigned to the Banner index.

This policy is applicable to all members of the university community, including all students, faculty, and staff seeking Project Director/Principal Investigator or Co-Principal Investigator status on any sponsored project.

## Purpose

When East Tennessee State University submits proposals to external sponsors and accepts awards for sponsored projects, the university assumes significant financial and legal obligations. Sponsors fund projects based on the professional expertise of the Principal Investigators/Project Directors submitting proposals; however, the formal award is made to East Tennessee State University. Under the general oversight and authority of East Tennessee State University, the Project Director/Principal Investigator is the individual who bears primary responsibility for technical compliance, completion of programmatic work, fiscal stewardship of sponsor funds, and compliance with administrative requirements of the project. Thus, the University must ensure that individuals serving in the capacity of Project Director/Principal Investigator have the technical competence and administrative capabilities to carry out a sponsored project.

<b>Definitions</b>	
Adjunct Faculty	An "Adjunct Faculty" is a non-tenured individual who has a part-time faculty appointment for a specific length of time at East Tennessee State University.
Co-Principal Investigator	A "Co-Principal Investigator" is one of two or more Principal Investigators who share responsibility for the project. Each person shall be considered a Co-Principal Investigator.
Instructor	An "Instructor" is an individual holding a regular, full- or part-time non-tenure faculty appointment at East Tennessee State University.
Postdoctoral Fellow (Postdoc)	A person engaged in postdoctoral research, study, etc., or engaged in a fellowship or position for postdoctoral work.
Project Director/ Principal Investigator	A "Project Director" or "Principal Investigator" is an individual who is primarily responsible for, and in charge of, a sponsored project.
Research Associate	A "Research Associate" is an individual with experience and scholarly qualifications comparable to regular faculty members. Appointees are professional researchers who are interested in and capable of independent investigation and publication, and who support the research mission of the University by assisting a department or center to achieve its research goals.
Regular Faculty	A "Regular Faculty" is an individual who has a full-time tenured or tenure track faculty appointment at East Tennessee State University, or who has a full-time limited-term faculty appointment.
Research Faculty	"Research Faculty" is a full- or part-time faculty member who is not eligible for tenure. These appointments are normally funded from sponsored projects or other non-appropriated University funds; are contingent upon the availability of funding and should be at a rate comparable to that of regular faculty of the same rank. Their research should complement the research programs of regular faculty members in the department or center. Although they are not normally assigned instructional responsibilities, they may teach courses appropriate to their background when it is mutually acceptable to them and to the department and occasionally take part in upper level or graduate teaching or seminar activities. Personnel costs for Research Faculty instruction should not be paid from research grants/contracts unless explicitly indicated in the proposal and award.
<b>Procedures</b>	
Exceptions	<p>Exceptions to the eligibility requirements for submitting a contract proposal or a grant application may be granted by the Vice Provost for Research. The academic unit in which these individuals will conduct research or other sponsored activities must provide space and access to other research facilities, and accept responsibility for ensuring administrative support and budgetary control needed to effectively manage the project through the term of the grant or contract.</p> <p><u>Requests for Exception</u></p> <p>Exceptions to the general eligibility requirements will be considered upon the recommendation of the cognizant Department Chair and Dean and submission of a written request to the Vice Provost for Research. The written request must</p>

	<p>justify the exception in terms of the following criteria:</p> <ul style="list-style-type: none"> <li>• That such action is clearly in the best interests of the University;</li> <li>• That space and facilities can be arranged without detriment to the regular instructional and research responsibilities of ETSU; and</li> <li>• That the applicant is an ETSU employee, who is able to carry out the responsibilities incumbent upon a Principal Investigator.</li> </ul> <p>The request must be signed by the PD/PI's Department Chair and should contain information sufficient for the assessment of the request. A copy of the request shall accompany the application for funding when the proposal materials are forwarded to the Office of Research and Sponsored Programs.</p>
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**Roles and Responsibilities**

<p>Project Director/Principal Investigator</p>	<ol style="list-style-type: none"> <li>1. Be knowledgeable about appropriate agency and University guidelines and restrictions relative to the budgeting of both direct and indirect costs, proposal preparation, the conduct of organized research, instruction and training, and other sponsored activities, and be willing to comply with such guidelines and restrictions;</li> <li>2. Comply with the specific terms and conditions of each award as stated in the Contract, Grant, Cooperative Agreement or Subaward documents and with all administrative requirements, as set forth by the federal government, sponsoring agency and campus policies, as applicable;</li> <li>3. Adhere to specific budget restrictions, ensuring that activities do not begin and expenditures are not incurred prior to the receipt of a fully executed award unless necessary and authorized advanced approvals have been obtained, and that expenditures do not exceed the total amount of funds obligated;</li> <li>4. Certify that all costs charged to a Sponsored Project are accurate and specifically benefit the project being charged including the certification of salaries charged to federal awards;</li> <li>5. Provide justification and documentation of costs being transferred, if after-the-fact adjustments in the allocation of certified costs become necessary;</li> <li>6. Comply with the reporting requirements as stated in the Contract, Grant, Cooperative Agreement or Subaward documents, including the submission of periodic and final programmatic reports, financial reports, invention reports and inventory and equipment reports; and</li> <li>7. Ensure that any subrecipients comply with the terms and conditions of each award as stated in the Subaward documents and with all administrative requirements, as set forth by the federal government and sponsoring agency, as appropriate.</li> </ol>
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<b>Related Forms</b>			
<a href="#">PI Eligibility Exception Request</a>			
<b>Links</b>			
<a href="#">NIH PI Eligibility Guideline</a>			
<b>Revision Dates</b>			
3/9/15			
<b>Subject Areas</b>			
Academic	Research	Finance	Human Resources
✓	✓	✓	✓