

# **Salisbury University**

## **Policy on Sponsored Projects and Principal Investigator Eligibility**

### **I. PURPOSE**

The purpose of this Policy is to establish the eligibility criteria for who may serve as a Principal Investigator (PI) on research initiatives conducted at Salisbury University (SU). This includes, but is not limited to sponsored projects, and all projects requiring IRB and IACUC approval.

### **II. APPLICABILITY AND IMPACT STATEMENT**

The Office of Sponsored Programs is the SU office authorized by the SU President, pursuant to BOR Policy IV-2.00 Policy on Solicitation and Acceptance of Sponsored Projects, to submit proposals to external sponsors and negotiate the conditions of an award for a sponsored project on behalf of SU. An externally funded award is made to SU often as result of a proposal submitted by SU in which a Principal Investigator (PI) is identified. A proposal, and any subsequent extramural award, creates a commitment and obligations for SU in many ways.

Principal Investigator responsibility requires individuals with the expertise and resources necessary to carry out the requirements of their awards and protocols. It is therefore incumbent upon SU to ensure that PIs are capable of carrying out sponsored projects, human or animal subject research and activities as proposed. The Principal Investigator is ultimately responsible for assuring compliance with applicable University IRB policies and procedures, DHHS Federal Policy Regulations, the University's IACUC policies and OLAW Regulations.

This policy applies to anyone proposing to serve as a PI, or titles used on programs with the same level of responsibility, such as "project director" or "program director" on behalf of SU, or a protocol submission to the IRB or IACUC committee.

### **III. POLICY**

A. The essential criteria for employee eligibility to serve as a PI are possession of the necessary academic or professional qualifications and the ability to carry out a proposed activity, including the facilities, in full compliance with all applicable federal, state and local regulations.

B. In order to submit a proposal for funding or submit a protocol to the IRB or IACUC Committee, an employee must have PI status. PI status is automatically granted to the following:

- Tenured or tenure track SU faculty, including emeriti;
- Full-time non-tenure track faculty;
- Full-time clinical faculty;
- Senior administrative staff with appointments as Director (or equivalent) and responsibility for the direct, independent design and management of projects;

C. Graduate and undergraduate students are not permitted to serve as a PI for sponsored projects or research protocols involving animal or human research subjects. When SU employees who become students wish to conduct research involving human or animal subjects as part of their graduate or undergraduate program, their faculty sponsor must serve as the PI of record for the proposal or research protocol and application.

#### Research Conducted by Students

Independent class projects, senior theses, undergraduate research projects, master's and doctoral projects, partial fulfillment of fellowship requirements, and similar exercises utilizing human or animal research may be submitted to the IRB or IACUC by the student researcher, but a faculty sponsor is responsible for the protection of the research subjects and should be listed as the Principal Investigator on the application.

Advisors shoulder the responsibility for students engaged in research, and instructors are responsible for research that is conducted as part of a course.

D. To submit a proposal for external funding, an employee must have all of the following:

1. A full-time appointment, with an exemption for Emeritus Faculty;
2. Been granted PI status or serve as a Co-PI with another SU faculty member serving as PI;
3. Have the physical resources necessary to complete an award;
4. Received training and can assure compliance with SU, USM, State and sponsor rules and regulations applicable to extramural awards for which they are the PI or Co-PI.

E. There may be some extraordinary cases when it is appropriate for an employee or appointee affiliated with SU who is not otherwise eligible to be a PI or Co-PI under this policy (i.e. adjunct and visiting faculty, staff, graduate students, or those authorized to be only Co-PIs) to be PIs. This Section of the policy allows for requests to be submitted for an exception under this policy. It is expected that such requests would be only in cases with special circumstances and would normally be project specific. The process for such a request is as follows:

1. Request is to be made in writing to the Dean, Graduate Studies and Research, explaining the special circumstance (i.e. sponsor/program requirement and benefit to SU).
2. If request is not initiated by the affiliated academic Dean, it must be endorsed by the academic Dean.
3. The Dean, Graduate Studies and Research, will make the determination of PI status.
4. The Office of Sponsored Programs will advise the requesting party and appropriate academic dean of the decision. Any disputes or questions should be directed to the Dean of Graduate Studies and Research.
5. Appeals of the decision may be made to the Provost.