I. Background

A Principal Investigator (“PI”) is a member of the Tulane University (“Tulane” or “University”) faculty or staff who bears responsibility for the leadership of a research project. The principal investigator is responsible for directing the research, the financial oversight of the award’s funding, and compliance with relevant University policies and sponsor terms and conditions of award.

Individuals typically eligible to serve as PI include tenured faculty, tenure-track faculty, and non-tenure track faculty such as research professors, research associate professors, research assistant professors, clinical faculty, postdoctoral fellows, professors of practice, lecturers, and instructors.

II. Policy

A. Scope

1. This policy applies to all sponsored projects proposed or conducted at Tulane.\(^1\)

2. This policy does not apply to:

   a) Consultant agreements or the procurement of goods or services from vendors; and
   b) Students or other trainees applying for fellowships and prizes.\(^2\)

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1 Research oversight committees at Tulane (e.g., IRB, IACUC) impose further restrictions on PI eligibility for proposals submitted to those committees. See Section 12 of Tulane University Research Protection Program (“HRPP”) SOPs (http://tulane.edu/asvpr/irb/policies.cfm), “Investigator Responsibilities,” for additional PI eligibility requirements for protocols submitted for review by the IRB. See IACUC (http://tulane.edu/asvpr/iacuc/) SOP 1.4, “Review Process for Proposed Animal Activities and Modifications to Ongoing Activities” for PI eligibility requirements for protocols submitted to the IACUC.

2 Students or other trainees may serve as the lead applicant for a fellowship or prize when the sponsor will require financial and administrative stewardship by the University. Such individuals may serve as the lead applicant only when appropriate approvals have been obtained by the relevant academic unit official (e.g. Department Chair, Dean) as indicated on the completed Proposal Routing Form. Applications to sponsors that provide prizes or fellowships directly to the student or the trainee, with no financial oversight required by the university, are normally submitted independent of the University, in which case this policy is not applicable.
B. Eligibility Requirements to Serve as PI

1. **Employees**: Employees of Tulane, as reflected by their being on Tulane’s payroll, may serve as PI. Eligibility to serve as a PI is contingent upon continuation of the employment during the sponsored activity.

2. **Prospective Employees**: Prospective employees at Tulane may be named a PI for proposal submission purposes, provided that the individual is employed by Tulane at the time the award is issued.

3. **Postdoctoral Fellows**: Individuals with the title of Postdoctoral Fellow may serve as PI when it is part of an approved postdoctoral training program.

4. **Other individuals as approved by the Provost and appropriate Dean**: Other individuals who do not meet the eligibility criteria listed above may serve as a PI if approved by the Provost. Such approval shall be indicated by the Provost signing the Proposal Routing Form (http://tulane.edu/asvpr/ora/forms.cfm).

III. Procedures

A. **All** individuals wishing to serve as PI must complete Sponsored Project Administration’s Proposal Routing Form (http://tulane.edu/asvpr/ora/forms.cfm) including the approval of the individual’s Dean, and, where appropriate, the relevant academic unit official (e.g., Department Chair, Section Head).

B. Individuals who have obtained approval from the Provost pursuant to Section II(B)(4) above must obtain the Provost’s signature on the Proposal Routing Form (http://tulane.edu/asvpr/ora/forms.cfm), in addition to obtaining the signature of the appropriate Dean and academic unit official. The Provost, the appropriate Dean, and the relevant academic unit official should consider the following when evaluating whether an individual who does not meet the criteria stated above in Section II(B) may serve as PI:

1. Whether the individual has the requisite training, skill, commitment, and expertise to serve as PI;

2. The individual’s ability to comply with the terms and conditions of the sponsored agreement, including reporting requirements; and

3. Tulane’s ability to comply with the terms and agreements of the sponsored agreement, including reporting requirements, should the individual leave Tulane.

IV. Related Policies

A. **Tulane Faculty Handbook** (http://tulane.edu/provost/faculty-handbook.cfm), Part III, Sections A and D.


The official version of this information will only be maintained in an on-line web format. Any and all printed copies of this material are dated as of the print date. Please make certain to review the material on-line prior to placing reliance on a dated printed version.
C. Investigator’s Manual (http://tulane.edu/asvpr/ora/upload/InvestigatorsManual.pdf), Section VII.
E. IACUC SOPs, Policies, and Guidelines (http://tulane.edu/asvpr/iacuc/).

V. Related Forms: Proposal Routing Form (http://tulane.edu/asvpr/ora/forms.cfm)