WHO CAN SERVE AS A PRINCIPAL INVESTIGATOR
AND OTHER ELIGIBILITY REQUIREMENTS
(TULANE UNIVERSITY)

RESPONSIBLE UNIVERSITY OFFICIAL: Senior Vice President for Academic Affairs and Provost
RESPONSIBLE OFFICE: Associate Senior Vice President for Research
COORDINATING DEPARTMENTS: Office of Research Administration; Human Research Protection Office

ISSUED DATE: 4/23/10 EFFECTIVE DATE: 5/1/2010
LAST REVIEWED DATE: 4/15/10 NEXT REVIEW DATE: 7/1/2011

WHO NEEDS TO KNOW THIS POLICY: Deans, Department Chairs and individuals wishing to serve as a Principal Investigator.

WEBSITE ADDRESS FOR THIS POLICY: http://tulane.edu/asvpr/ora/policies.cfm

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 teaching 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) Applicants for fellowships and prizes.²

¹Research 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, “Investigator Responsibilities,” for additional PI eligibility requirements for protocols submitted for review by the IRB. See IACUC SOP 1.7 for PI eligibility requirements for protocols submitted to the uptown and downtown IACUCs and SOP 1.5 for protocols submitted Tulane National Primate Research Center IACUC.

²In some cases students or other trainees may serve as the lead applicant on a sponsored project or fellowship. Typically, these would be applications for fellowships and prizes that provide only stipend support directly to the trainee and are normally submitted to sponsoring agencies independent of the University or through the trainee’s school. In these circumstances the issue of PI status is moot. Such individuals may serve as the lead applicant on a fellowship application with a completed Proposal Routing Form indicating approval by the appropriate Dean, and, where appropriate, the relevant academic unit official (e.g., Department Chair, Section Head).
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 both 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 and appropriate Dean. Such approval shall be indicated by the Provost signing the Proposal Routing Form.

III. Procedures

A. **All** individuals wishing to serve as PI must complete the Office of Research Administration’s Proposal Routing Form 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, 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](#), Part III, Sections A and D.
B. [Human Research Protection Program, Standard Operating Policies](#).
C. [Investigator’s Manual](#), Section VII.
D. [Submission and Routing of Proposals for Extramural Funding and Award Acceptance](#).
E. [IACUC SOPs, Policies, and Guidelines](#).

V. Related Forms: Proposal Routing Form