



Title	Principal Investigator Departure
Policy Number	ORC-001
Original Approval Date	April 26, 2023
Revision Date / Author Initials	N/A
Revision History Dates	N/A
Authorized by	ORC, Vice President for Research and Innovation

I. PURPOSE

This policy defines the requirements for Principal Investigators with active research protocols who are departing the university (e.g., retirement, leave) to ensure appropriate closure or transfer of responsibility and oversight. This policy covers research projects that have oversight from the Institutional Animal Care and Use Committee, Institutional Biosafety Committee, and Institutional Review Boards.

II. DEFINITION

Principal Investigator: The Principal Investigator (PI) is ultimately responsible for assuring compliance with applicable University policies and procedures, federal and state regulations, and for the oversight of the research study. Although the PI may delegate tasks to members of the research team, the PI retains the ultimate responsibility for the conduct of the study.

III. POLICY

The PI is responsible for ensuring appropriate closure of research projects or transfer of research project responsibilities when departing Central Michigan University (CMU). The transfer may be to another CMU faculty member to assume the responsibility of the project, or another university when appropriate.

The PI is also responsible for consulting with academic departments to ensure appropriate closure or transfer of research projects, laboratory spaces, data, grants and contracts.

A. Closure of Research Projects

If the PI will end their research endeavor at CMU, then they must complete the following steps:

1. Submit appropriate closure reports to the oversight committee(s)
2. Ensure compliance with record retention regulations and policies

B. Identification of New Principal Investigator for Research Project

If the research endeavor will continue at CMU, but under a new PI, then the following items must be addressed:

1. Only faculty members or qualified professional staff who are full-time university employees are eligible for PI status
2. The PI for the research project must possess the appropriate scientific and/or scholarly training and expertise to assume direct responsibility for the research project, provide technical and administrative oversight of the research, and make important study-related decisions, such as:

- a. Protecting the rights and preserving the safety and welfare of research subjects, the university, and community
 - b. Ensuring that current laws, regulations, procedures, and guidelines are observed by all research staff involved in the conduct of the project
 - c. Selecting and training of individuals who may assist with the research and obtaining oversight committee approval for the involvement of and any changes in co-investigators and key personnel
 - d. Ensuring that all research receives appropriate oversight committee review and approval before commencement of research, including obtaining prior approval for any changes or modifications to the research protocol
 - e. Ensuring that all research team members comply with the findings, determinations, conditions, and requirements of the oversight committees
 - f. Ensuring that the parameters of the protocol are followed in the conduct of the study
 - g. Report to the oversight committee any adverse event or unanticipated problems as required per oversight committee requirements
3. Submit appropriate project change forms to the oversight committee(s) for review (e.g., amendments, amended recruitment materials)
 4. If collaboration on the project will continue, consult with the appropriate Office of Research and Graduate Studies sections in the event additional formal steps are required (e.g., Material Transfer Agreement, Data Use Agreement, Reliance Agreement).

C. Transfer University Oversight of Research Project to Another Institution

If the PI will be transferring their research endeavor to another institution, then they must complete the following steps:

1. Coordinate with the Office of Research Compliance and the appropriate oversight committees for transfer (CMU and new institution)
2. Consult with appropriate Office of Research and Graduate Studies sections in the event additional formal steps are required (e.g., Material Transfer Agreement, Data Use Agreement, Export Controls)

D. Exceptions

1. Exceptions to this policy may be considered on a case-by-case basis.
 - a. In extenuating circumstances, an individual who is not a full-time employee may serve as the PI
 - b. In rare instances, a PI who is departing from the University may continue to serve as the PI
2. Such cases must be reviewed and approved by the Vice President of Research and Innovation and the Dean of the college
3. In order to request an exception to this policy, the following information must be provided in the request for consideration:
 - a. Abstract outlining what is pending in order to complete the project
 - b. Expected duration or timeline to complete
 - c. Rationale regarding request for exception
4. The request for consideration is to be submitted to the Office of Research Compliance at: