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|  <p>OFFICE OF<br/><b>RESEARCH &amp;<br/>GRADUATE STUDIES</b><br/>CENTRAL MICHIGAN UNIVERSITY</p> | <b>POLICY</b>             |                         |
|   | • Retrieval Number:       | 11,010                  |
|   | • Page:                   | 1 of 3                  |
|   | • Originator:             | Lenora Calkins          |
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|   | • Revised By:             | Melinda<br>Brakenberry  |

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| <b>OFFICE OF SPONSORED PROGRAMS</b>  |   |
| <b>SUBJECT:</b>  | Eligibility to serve as CMU Principal Investigator (PI)/Project Director (PD) on Sponsored Projects |
| <b>Rationale</b>   |   |
| <p>The intent of this policy is to define the eligibility that must be met by those who serve in the capacity of Principal Investigator/Project Director (PI/PD) or co-PI/co-PD on an externally sponsored project at Central Michigan University (CMU).</p>   |   |
| <b>Policy Statement</b>  |   |
| <p>When CMU submits a proposal to an external sponsor and accepts an award to support a project, CMU assumes significant financial and legal obligations as the formal award is made in the name of CMU. Under the general oversight and authority of the University, the PI/PD and co-PI/co-PD of a sponsored project are the individuals who bears primary responsibility for completion and technical compliance of the proposed scope of work, fiscal stewardship of the sponsor funds, and fulfillment of the administrative requirements of the project. CMU must ensure that individuals serving in the capacity of PI/PD or co-PI/co-PD have appropriate technical competence and administrative capabilities and have a reasonable long-term commitment to CMU.</p> |   |
| <b>Principal Investigator Eligibility</b>  |   |
| <p>The University has designated individuals in the following categories as being eligible to serve as PI/PD and co-PI/co-PD:</p>  |   |
| <ul style="list-style-type: none"> <li>• All professional staff with CMU permanent appointments</li> <li>• All CMU tenure or tenure-track faculty</li> <li>• All non-tenure College of Medicine faculty with CMU paid appointments</li> <li>• CMU Medical Education Partners (CMEP) employees; submissions must also include a project lead who is a paid CMU employee or faculty member, who meets the PI eligibility criteria. See the first three bullets above.</li> </ul>   |   |

The University has designated individuals in the following categories as being eligible to serve as PI/PD and co-PI/co-PD with prior-approval from the respective chief administrator of a unit (e.g., department chair or unit director) and the next higher-level administrator (e.g., college dean):

- Fixed term faculty
- Professional staff on CMU term appointments (e.g., temporary, provisional)

### **Restrictions**

- **Postdoctoral Researchers** may not serve as PI/PDs or co-PI/co-PDs on sponsored projects except for sponsored programs that are designated specifically for this group, such as fellowships. On such proposals, the postdoctoral researcher may be designated as the PI/PD or co-PI/co-PD in a proposal for the project if the sponsor requires it and the project period is within the term the postdoctoral researcher is anticipated to remain a CMU researcher. A faculty member, who is PI eligible per CMU policy, must serve as at least the co-PI for the granting agency, if allowed by the Sponsor. This faculty member will be identified as co-PI on the project for CMU's internal processing and responsibilities.
- **Students** may not serve as PI/PDs or co-PI/co-PDs on sponsored projects except for sponsored programs that are designated specifically for this group. On student-specific external funding opportunities, a student may be designated as the sponsor PI in a proposal for the project if the sponsor requires it and the project period is within the term the student is anticipated to remain a CMU student. A faculty or staff supervisor, who is PI eligible per CMU policy, must serve as at least the co-PI for the granting agency, if allowed by the Sponsor. For CMU internal processing and responsibilities, the student will be listed as key senior personnel and the faculty or staff supervisor as the CMU PI of record.

### **Other**

- Outside of the above-mentioned roles and restrictions, individuals without paid appointments including, but not limited to adjunct faculty and community educators, are not eligible to serve as PI/PD or co-PI/co-PD on externally sponsored projects.

### **Sponsors Restrictions**

In some cases, a sponsor may have more stringent restrictions on the qualifications for the PI/PD or co-PI/co-PD on a particular project than are mandated by CMU policy. In this situation, the sponsor's restrictions will take precedence over CMU's policies for that project.

### **Decisions**

Serving as a PI/PD or co-PI/co-PD at CMU is a privilege and responsibility, therefore the ultimate decision regarding eligibility/exceptions rests with the Vice President for Research and Innovation (VPRI) (or designee in their absence). No other individual(s) can designate PI/PDs or co-PI/co-PDs on behalf of Central Michigan University.

If there is a situation in which a sponsor requires an individual to serve as PI/PD or Co-PI/co-PD, but they are ineligible under this policy, a formal request for policy exception must be made to the VPRI, or designee in their absence, and must include a plan to ensure an individual eligible to serve as PI/PD under this policy serves in a leadership role on the sponsored project.

### **Key Definitions**

***CMU Principal Investigator (PI)/Project Director (PD):*** This title identifies individuals with eligible appointments who are responsible for the oversight of a sponsored project. The responsibility includes the intellectual conduct of the project, fiscal accountability, administrative aspects, and the project's adherence to relevant policies and regulations. The PI/PD is fully responsible for the academic quality of the project and for ensuring compliance with the terms, conditions, and policies of the sponsor and the university.

***CMU Co-Principal Investigator (Co-PI)/Co-Project Director (Co-PD):*** This designation refers to individuals, with eligible appointments, who share the responsibility for the conduct of the project, fiscal accountability, administrative aspects and the projects adherence to relevant policies and regulations with the Principal Investigator/Project Director. The Co-PI is a member of the research team who plays a major role in one or more aspects of the project.

***Note:*** *A determination that an individual is eligible to be a PI/PD on external grants does not guarantee a specific grant or contract will be approved for submission. This is an independent case-by-case determination.*