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## **OSP Policy MEMORANDUM-05**

### **Principal Investigator Eligibility**

#### **Purpose**

To establish the role and responsibilities of a Principal Investigator; the categories of appointments for those individuals who are eligible to serve as a Principal Investigator; and an approval procedure to allow those individuals who are not included in the default categories to serve as Principal Investigators.

#### **Definition**

The Project Director/Principal Investigator (PI/PD) is the person responsible for the design, conduct, and reporting – both scientific or technical and fiscal – of the research. In addition, they are responsible for any additional regulatory and review requirements. Externally funded sponsored projects at Missouri S&T are under the scholarly and administrative control of the Project Director or Principal Investigator (PD/PI or Co-PDs/Pis), who is responsible for the overall design, conduct, and reporting of the research or other activity.

#### **Policy**

It is the policy of Missouri University of Science & Technology that the Project Director or Principal Investigator on a research proposal must be a full-time employee of the University and hold the title of Regular or NTT Faculty. Members of the Faculty who are retired may serve as PD/PI provided they are in an active pay status/appointment and there is at least one College/Center/Department willing to provide the necessary administrative commitment to permit the program to be carried out.

When a sponsor recognizes more than one Principal Investigators, one of them must be designated as the “Corresponding Principal Investigator” who shall be the individual who assumes institutional responsibility for the overall project and with whom the Office of Sponsored Programs will communicate for administrative matters.

At the recommendation of the appropriate Dean or VPR, a Post-Doctoral employee or research scientist/specialist (or similar) may be designated as a Co-PD/PI.

A unit executive officer (Department Chair/Center Director) shall submit to the applicable academic dean/VPR a request for approval, which should include, for example, the following information:

- The category of appointment of the proposed Principal Investigator identifying his/her current appointment, planned appointment or changes in appointment, and the duration of the appointment.

- A brief description of the proposed project, including the title, scope of work, and sponsor, and how the project aligns with the individual's responsibilities.
- A brief description of the qualifications of the proposed Principal Investigator, and the level of mentorship available, if applicable.
- An affirmation from the unit executive officer that space and facilities will be provided without detriment to the regular instructional or research responsibilities of the unit in which the project will be performed.

The academic dean or VPR should review all requests for approval taking into consideration the qualifications of the individual, the scope of work, the sponsor, and the level of mentorship available, if applicable. Depending upon the circumstances, the academic dean or VPR may limit the approval to a specific sponsored project or subject to specific conditions. The academic dean will document all approvals and forward them to the Office of Sponsored Programs within the Office of the Vice Provost for Research.

The Vice Provost for Research may approve exceptions to this policy.

There are other requirements for the title of Principal Investigator on protocols reviewed by the Institutional Review Board, the Institutional Animal Care and Use Committee, and the Institutional Biosafety Committee.

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