

University of Rochester Principal Investigator Eligibility Policy

For the purposes of this policy, the term "Principal Investigator" shall encompass the terms Principal Investigator, Project Director, Program Director, and the like, and shall mean a single individual who in the event of an award from an external funding agency shall have the full and final responsibility for the conduct of the project as proposed. The Principal Investigator shall use all reasonable efforts to comply with the terms, conditions, and policies of both the sponsor and the University, including the submission of all required reports. When the term is modified by the prefix "Co-," the first-named individual on the project proposal shall be the person with the ultimate responsibility as outlined above.

Persons eligible to be Principal Investigators shall hold full-time faculty positions or full-time positions enjoying similar rights and privileges (e.g., Senior Scientist, Scientist, Senior Research Associate, Senior Technical Associate, Research Associate, Instructor, etc.). Part-time clinical faculty in the School of Medicine & Dentistry and the School of Nursing having the rank of Assistant Professor or above may also be named as Principal Investigators. Exceptions to this policy may be made with the approval of the Department Chair and Dean under the following considerations:

1. An individual petition to serve as a Principal Investigator must be specifically approved on the basis of the particular facts involved and not as a routine procedure. The approval will be for a specific project and duration, and will be valid for multiple funding applications.
2. The individual must have the necessary experience and independence to compete for his/her own sponsored program and to administer the project should it be funded, as judged by the faculty sponsor, the Department Chair or center/institute/laboratory Director as appropriate, and the Dean.
3. The individual must obtain written commitments from the Department Chair or center/institute/laboratory Director as appropriate, required to guarantee necessary laboratory space or other resources or support.
4. The Department Chair or center/institute/laboratory Director as appropriate and a specifically identified faculty member (faculty sponsor) must agree to assume responsibility for the awarded sponsored program should the individual leave the University. A plan should be developed for administering the sponsored program and should, at a minimum, include the identification of a specific individual who will assume the responsibilities of Principal Investigator, and whether or not the project will stay at the University.