

## Principal Investigator Eligibility Policy

**Responsible Office:** SOM Research Office

**Effective Date:** 11/2016

**Purpose:** To Define Principle Investigator Eligibility within the School of Medicine

**Applicability:** Any regular full-time or part-time faculty member in the School of Medicine is allowed to submit research proposals to external research sponsors on which he/she is listed as the Principal Investigator (PI). Regular faculty includes the following ranks on all tracks: Associate, Senior Associate, Instructor, Assistant Professor, Associate Professor, and Professor. All research proposals will be submitted through the Department, School, and University in accordance with School and University policies and procedures.

### Policies and Responsibilities:

1. Faculty members who have active research portfolios and are retiring with emeritus status may be eligible to continue their research in the School of Medicine as PIs. The faculty member and Department Chair will agree upon the terms under which the research will be allowed to continue, with the prior written approval of the Department Chair and Dean's Office.
2. Usually Emory temporary and visiting faculty, staff members, and trainees, including but not limited to undergraduate and graduate students, professional students, residents, and postdoctoral fellows, will not be eligible to submit research proposals to external sponsors on which they are listed as PIs or serve as PI on internally funded research projects. Exceptions to this can be made with the prior approval of the Departmental Chair and SOM Dean. A letter from the Chair to the Dean requesting approval must confirm that the individual meets all eligibility requirements for PI/PD status, what kind of supervision/mentorship will be available and that the research, if funded, can be done in currently available space. A student will need a named mentor in order to access the EPEX system.
3. Postdoctoral fellows with the approval of his/her mentor and Department Chair can submit as the Principal Investigator an NIH application for the R21 and R03 grants as well as any of the K series awards for which the Post doc position satisfies eligibility requirements now or in future, e.g., the K01 and K25. The faculty mentor is to provide space in his/her laboratory for the conduct of the research described in the Postdoctoral Fellow's grant application and provide a letter outlining the commitment which is also signed by the Dept. Chair. A Postdoctoral Fellow cannot hold either an IND or IDE. If one is a requirement of the grant the mentor must make that commitment.
4. All levels in the Staff Scientists job series, with the approval of his/her Faculty supervisor and Department Chair, may submit proposals. The supervisor will be responsible for providing space in his/her laboratory for the conduct of the research described in the Scientist's grant application and provide a letter outlining the commitment which is also signed by the Dept. Chair.

In rare and unusual circumstances, justified in writing, the Department Chair and Dean's Office will consider approving such proposals for the following:

1. Individuals who hold faculty equivalent positions (research associate, senior research associate) and senior-level research nurses, if an Emory faculty sponsor is also listed on and participating in the project. Usually these projects will be educational grants.
2. Individuals who are not faculty members at Emory at the time the proposal is submitted but who will be appointed to the faculty prior to the funding of the proposal by the external sponsor. In such cases, the proposed PI will include either (1) a recruitment letter from the Department Chair that has been approved by the Dean's Office; or (2) a letter of assurance from the Department Chair that the PI will have a faculty appointment prior to the funding of the proposal by the external entity and that the faculty appointment is not contingent on the funding of the proposal.

**Revision History:** August 2017