
PRINCIPAL INVESTIGATOR ELIGIBILITY

Category: Research
Responsible Office: Sponsored Projects Services
Responsible Executive: Vice President for Research

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Summary

Only eligible University at Buffalo (UB) faculty and staff may serve as a Principal Investigator (PI) on externally funded research, training, or other sponsored project.

Policy

POLICY STATEMENT

To serve as a PI, the employee must personally participate in the project to a significant degree. The PI bears primary responsibility for the intellectual conduct of a project and accepts overall responsibility for directing the research, overseeing financial transactions, and complying with the sponsor's terms and conditions and relevant policies and procedures.

UB faculty and staff eligible to serve as a PI include:

1. Academic appointees who hold the following titles: Professor, Associate Professor, Assistant Professor; Research Professor, Associate Research Professor, Assistant Research Professor; Clinical Professor, Associate Clinical Professor, Assistant Clinical Professor; Librarian, Associate Librarian, or Assistant Librarian are automatically eligible to serve as a PI on externally sponsored projects.
2. Academic appointees with the titles Emeritus, Adjunct, or Visiting Professor may serve as a PI on externally sponsored projects only with the prior written approval of the cognizant dean.
3. Non-academic professional staff may serve as a PI on an externally sponsored project only with the prior written approval of the provost or cognizant vice president.
4. Co-principal Investigators (Co-PI), other than students, must meet the same criteria for eligibility as a PI.
5. Student eligibility for PI status is limited to a Co-PI with a faculty advisor or sponsor who independently qualifies as a PI. Applicants in this category require prior written approval of the appropriate dean of the college or school in which the student is registered.
6. In rare circumstances in which a UB employee wishes to serve as a PI but does not meet the eligibility criteria set forth above, a request for an exception to this policy must be submitted to the provost for consideration.

BACKGROUND

It is the intent of this policy that only UB faculty and staff with PI status apply for external funding for sponsored projects.

APPLICABILITY

This policy applies to all individuals seeking PI or Co-PI status on any sponsored project.

DEFINITIONS

Co-Principal Investigator

An individual collaborating with the PI in the scientific development or execution of a project may be a Co-Principle Investigator (Co-PI). A Co-PI typically devotes a specified percentage of time to the project and is considered “key personnel.” The designation of a Co-PI does not affect the PI’s role as having primary responsibility for directing the research, financial oversight, and compliance with relevant university policies and sponsor terms and conditions.

Principal Investigator

A Principal Investigator (PI) is a University at Buffalo (UB) faculty or staff member who bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, financial oversight, and compliance with relevant university policies and sponsor terms and conditions.

Sponsored Project

A Sponsored Project is any externally funded research, training, evaluative testing, or public service project directed by UB faculty or staff as part of their university work that requires the university to perform a specified program or deliver a specified product.

RESPONSIBILITY

Who should know this Policy

- Provost
- Vice Presidents and Vice Provosts
- Deans and Associate Deans
- Department Chairs
- Principal Investigators
- Sponsored Projects Services staff

Principal Investigator

- Obtain eligibility to serve as PI prior to making an application for sponsored project funding
- Comply with this and all other applicable UB policies

Department Chair

Promote faculty and staff awareness of this policy

Approve for submission only those sponsored project applications from individuals who qualify to serve as a PI under this policy

Dean

Approve PI eligibility for Emeritus, Adjunct, or Visiting Professors

Approve PI eligibility for students seeking Co-PI status

Vice President

Approve PI eligibility for non-academic professional staff

Provost

Approve PI eligibility for non-academic professional staff

On rare occasions, grant an exception to this policy

Sponsored Projects Services

Submit only those applications for sponsored project funding from an eligible PI or eligible Co-PIs

Contact Information

Sponsored Projects Services
402 Crofts Hall
North Campus
Amherst, NY 14260

Phone: (716) 645-2634
Fax: (716) 645-2760
Website: www.research.buffalo.edu
E-mail: info@research.buffalo.edu

Related Information

Related Links:

[UB Policy Library](#)

Presidential Approval

Signed by President John B. Simpson

John B. Simpson, President

2/19/07

Date