

Research Sponsored Programs Procedure

Who Can Apply as Principal Investigator (PI)

1. Overview

Under the general oversight and authority of Rutgers University, the Principal Investigator (PI) is the individual who bears responsibility for technical compliance, completion of programmatic work, fiscal stewardship of sponsor funds and compliance with administrative requirements of the project. Thus, the University must ensure that individuals serving in the capacity of Principal Investigator have the technical competence and administrative capabilities to carry out all projects.

2. Purpose

Outline expectations and requirements for who may serve as a Principal Investigator of a sponsored award.

3. Who Must Comply

All members of Rutgers University community who intend to seek external support for their research, programs or projects
Deans, Directors, Chairs and Department Heads
Department Personnel
Business Managers
Research and Sponsored Programs
Office for Research

4. Definitions

Adjunct Faculty: A non-tenured individual who has part-time faculty appointment for a specific length of time.

Co-PI /Multiple PI: One or more Principal Investigators who share responsibility for the project. Each individual is considered a Co-Principal Investigator.

Emeritus Faculty: Emeritus is an honorary title that may be conferred to retired faculty or academic administrators who have a long-term history of meritorious service to higher education and Rutgers University. Non-paid Emeritus Faculty are not considered Rutgers employees

Faculty: An individual who has a full-time tenured or tenure-track faculty appointment or who has a full-time, limited-term faculty appointment.

PI/ Project Director: The individual responsible for leading the project or programs described in a proposal for a sponsored project award. The Principal Investigator is responsible for the programmatic, financial, and administrative aspects of the award, ensuring all terms and conditions set forth in the formal written agreement (grant, contract, cooperative agreement, Memorandum of Understanding (MOU), or Other Transaction Agreement (OTA)) are met.

Sponsored Projects:Externally funded activities in which a formal written agreement (grant, contract, cooperative agreement, Memorandum of Understanding (MOU), or Other Transaction Agreement (OTA)) is entered into by Rutgers and the Sponsor.

5. Procedure

The individuals identified herein may apply for external funding as Principal Investigator, with the endorsement of their Department Chair and/or Center Director and their Dean (or Dean's designee), or the appropriate senior leadership of other University units:

Individuals employed by Rutgers that hold one of the following positions may serve as Principal Investigator (PI) or Co-Principal Investigator (Co-PI).

Faculty	Full-time or part-time tenured or tenure-track faculty (Full, Associate and Assistant Professors)
Research Faculty	Full-time or part-time faculty or faculty equivalent appointments who are not on tenure-track (Research Associate Professors, Research Assistant Professors)
Co-terminus or Adjunct Faculty	Co-terminus, or Adjunct Faculty with a paid appointment at the University with sufficient time and effort for the work proposed
Other	Others hired by individual faculty members using grant funds (Such as Research Associates, Research Assistants, Post-Doctoral Fellows and Associates)
Staff	Staff members with responsibility for managing a unit with its own budget may be designated as Principal Investigator
Student	Fellowships

Emeritus or retired faculty may also apply for external funding as Co-Principal Investigator, with the endorsement of their Department Chair and/or Center Director and their Dean (or Dean's designee).

6. EXCEPTIONS:

Exceptions and things to consider:

- In the event an individual is currently a **Part-Time Adjunct Faculty member, Lecturer or a Visiting Professor**, a letter from the Chair/Dean is required to acknowledge that should the grant be awarded, the personnel status of the individual will change to a paid appointment at a minimum at the effort required for the work funded as well as acknowledgement that space will be made available and project and budgetary oversight provided.
- In the event of a **new hire**, a copy of the fully executed offer letter indicating the start date along with the endorsement of their Department Chair and/or Center Director and their Dean (or Dean's designee). The proposed start date of the award cannot be before the start date identified in the offer letter.
- Members of the **Staff** with appropriate skills, education, experience and authority for the work proposed but who do not manage a unit or have budgetary authority who wish to submit proposals must, in addition to all endorsement requirements at time of submission, first obtain permission from the Vice President for Research Administration via submission of a letter of justification from the Chair and Dean or equivalent of the School and/or unit under which they fall.
- **Retired faculty** should consult with the appropriate office to assure serving as a Co-PI will not alter their retirement status. In order for a retired faculty member to serve as a PI, he or she must, in addition to all endorsement requirements at time of submission, first obtain permission from the Vice President for Research Administration via submission of a letter of justification from the Chair and Dean or equivalent of the school and/or unit under which they fall.

- **Graduate Students and Post-Doctoral Fellows** are allowed to submit a proposal only if they meet the eligibility requirements set forth by the external sponsor. Research and Sponsored Programs reserves the right to obtain additional justification in any case where eligibility is in question. Potential applicants are strongly encouraged to contact Research and Sponsored Programs as soon as a submission which may require additional approvals is identified.

7. Resources

- a. Research and Sponsored Programs website: research.rutgers.edu/rsp