



PRINCIPAL INVESTIGATOR ELIGIBILITY POLICY

PURPOSE

The Principal Investigator (“PI”) is the primary person responsible for the technical and financial aspects of a research grant, cooperative agreement, training or service project, clinical study, contract, other sponsored project or material transfer agreement.

STATEMENT OF POLICY

The Office of Sponsored Projects (OSP) is responsible for all proposal review, approval and submission, funding agreement review and endorsement, technology transfer issues and research compliance requirements for externally funded projects conducted at Long Island University. Therefore, OSP is the only office within Long Island University that is authorized to sign off on grant applications. Both the Executive Director of Sponsored Projects and the Director of Sponsored Research are authorized to sign for both the Post and Brooklyn campuses.

Principal Investigator Generally: The PI may be referred to as the program or project director, and is responsible for adequately communicating to his/her department/unit head and department administrative and project staff on all aspects of his/her sponsored programs portfolio.

Principal Investigator Appointment: Individuals holding a full-time faculty or staff appointment at Long Island University are eligible to be named as Program Director/Principal Investigator (PD/PI) on externally funded grants. The PD/PI will have the majority of the responsibility to meet the scientific and programmatic requirements of the project and is designated to handle the administrative responsibilities of the individual grant. A full-time appointment is not required in the case of co-investigator status.

The Program Director/Principal Investigator has the following responsibilities:

- Prepares the technical proposal, budget and related materials and confirms that the entire proposal meets requirements outlined in the sponsor's program guide lines (the Program Announcement, Request for Application, Request for Proposal, or other application instructions)
- Identifies subrecipients and consultants
- Requests and seek approvals for cost sharing/matching dollars, if required
- Satisfies regulatory research requirements (i.e., use of human subjects, animals, sharing of model organisms, data sharing plans, etc.)
- Executes and completes PI certifications on proposals/awards. This includes COI (and NIH, if applicable) assurances, acceptance of financial oversight of the project, and assurance of no debarment of any key persons on the project. This responsibility may not be delegated.
- Updates annual Conflict of Interest Assurance, and prepares Disclosure Form if significant financial conflict of interest develops
- Assures that final proposal is properly endorsed and executes final and ready to submit or communicates approval to submit to PI-Delegate
- Negotiates and approves project scope

- Reviews and approves, in consultation with Office of Sponsored Projects, the terms & conditions of award
- Conducts the research:
 - Oversees work scope and authorizes payments to consultants and subrecipients
 - Oversees scientific integrity of project.
 - Is familiar with the University's Misconduct in Research Policy and brings to appropriate LIU officials attention any allegations of academic or scientific misconduct; LIU Officials will make a determination as to the merit of the allegations.
 - PI also ensures, when required, that all researchers are trained in the responsible conduct of research
- Manages project personnel
- Communicates with and oversees unit administrator to ensure that project technical requirements and allocation of resources are fully understood by all parties
- Oversees budget management
 - Authorizes all expenditures, cost transfers, re-budgeting
 - Provides oversight for re-budgeting, cost transfers, and carry forwards
- Works in collaboration with department/unit administrator and Office of Sponsored Projects on any post award requests to sponsor for changes to award; approves proposal updates and just-in-time information
- Completes interim and final technical reports
- Provides information on closing reports
- Discloses inventions, discoveries, improvements to LIU's Office of Sponsored Projects
- Signs Annual Certification Statements for effort reporting
- Prepares continuation or renewal proposal
- Retains project data and materials as required

There are exception to eligibility requirements for principal investigators. Generally, PI/PD status is granted solely to those individuals enumerated above, namely, individuals holding a full-time faculty or staff appointment at Long Island University. However, under limited circumstances an exception to the policy may be warranted. Individuals who 1) do not have full-time faculty or staff status at the time of application, but expect to be appointed to one by the time of an award, 2) have separated from LIU but still hold an externally funded award and LIU would like the outgoing PI to continue to oversee this grant until it's expiration, or 3) do not hold a full time LIU faculty or administrative position but wish to serve as PI/PD must submit a **Request for Principal Investigator (PI) Status at Long Island University form**. This form must be signed by the requesting individual and be submitted for approval by the Department Chair, School Dean and Executive Director of Sponsored Projects along with the documents requested therein. If approved, PD/PI status is only applicable to the particular externally funded grant.

Students who apply for grants must do so under the direction of an advisor who retains a full-time faculty appointment. The faculty advisor is the PI/PD and the student may be the co-investigator.

Non U.S. residents who wish to apply for funding must meet sponsor requirements as to their eligibility and they must determine if their VISA status will allow them to participate. Non-immigrants to the United States, who wish to apply for external funding, must have the appropriate immigration status to participate in the proposed activity. In cases where the sponsor requires U.S. permanent residence (green card) or U.S. citizenship for applications, these requirements must be met. Current immigration regulations place severe penalties on non-immigrants who violate the terms and conditions of their immigration status. Non-immigrants currently employed by Long Island University in H-1 or J-1 status should consult with INS about changes that may be

required prior to beginning a new project or new employment. H-1 status is employer specific and job specific. J-1 Research Scholars are admitted to the United States to complete a specific objective, defined prior to issuance of the initial Form IAP-66. Changes and additions to that objective will require review of the program sponsor prior to beginning a new project.

POLICY TYPE: ACADEMIC AFFAIRS