

Principal Investigators

The full administrative, fiscal, and scientific responsibility for the management of a sponsored project resides with the principal investigator named in the award. A principal investigator is required to:

- ensure that all of the information in the proposal is presented in a manner that is complete, accurate, and developed according to the practices commonly accepted within the academic community;
- ensure that all required University forms and certifications, such as the conflict of interest disclosure and the agreement on the assignment of rights to inventions, are completed in a timely manner;
- conduct the work on the project according to the research protocol or statement of work that was submitted with the original proposal or as subsequently modified by the sponsor in agreement with the principal investigator and the University;
- ensure that all work meets the highest ethical standards and is conducted without real or apparent conflicts of interest, in accordance with the University's policies;
- ensure that all work performed is conducted in compliance with applicable federal, state, and local laws and regulations and with University policies and requirements;
- submit reports on the research in a timely manner, according to the sponsor's requirements;
- abide by the terms and conditions of the award; and
- manage the project's budget so that funds are spent correctly, taking into account any restrictions imposed by the sponsor and avoiding overdrafts.

Questions concerning the duties of a principal investigator should be directed to the Office of Sponsored Projects Administration (SPA) or to the Sponsored Projects Finance (SPF) Division of the Controller's Office.

The principal investigator normally must be an officer of instruction with a full-time appointment in the rank of professor, associate professor, assistant professor, or instructor or an officer of research with a full-time appointment as a senior research scientist/scholar or a research scientist/scholar, with certain exceptions described below. Persons with appointments carrying other instructional or research titles, including those in a visiting or adjunct grade, may act as co-principal investigators with officers in one of the instructional or research grades cited above. However, they may not serve as the sole principal investigator without the approval of their department chair, director, dean or vice president, and the Provost.

The Provost has delegated the authority to make such exceptions to the Executive Vice President for Health and Biomedical Sciences for officers at the Medical Center and to the Executive Vice President for Research for those holding appointments elsewhere in the University, with the exception of the Lamont-Doherty Earth Observatory, where that authority has been delegated to the Director.

Officers seeking an exception should submit their requests to the Office of Sponsored Projects Administration, which will forward them to the appropriate approving authority. They may ask for exceptions for specific projects or to be the principal investigator for any award they may receive. The request must be countersigned by the appropriate chair or director and dean or vice president in order to acknowledge the financial responsibility of the department or school for the proposed project or projects. In addition the request must include the individual's *curriculum vitae* and, if it relates to a specific project, an abstract of the proposed project.

A faculty member or an officer of research who is a principal investigator may continue in that capacity after retirement until the expiration of the current term of funding of the sponsored project. The officer may serve as a principal investigator beyond that date only with the special permission of the appropriate designee of the Provost.