

Emory College - Principal Investigator Eligibility Policy

Emory College is committed to the advancement of research and scholarship. One important role in the research enterprise is service as a Principal Investigator on a research award from an external sponsor. Within the College, any regular full-time faculty member may submit research proposals to external research sponsors on which s/he is listed as the Principal Investigator (PI), with the prior approval of the Department Chair, Dean's Office, and University. Regular faculty includes tenured, tenure-track, and lecture-track faculty. Individuals who hold a faculty equivalent position or who hold staff Scientist positions above the assistant level and Visiting Assistant Professors with 50% research/50% teaching appointments also are eligible to serve as PIs, with appropriate approval (see below). All research proposals will be submitted through the Department, School, and University in accordance with School and University policies and procedures.

Regular faculty members who have active research portfolios and are retiring with emeritus status may be eligible to continue their research in the College as PIs. In such cases, the emeritus faculty member will be ineligible to receive any salary or compensation for his or her time. The faculty member and Department Chair will agree upon the terms under which the research will be allowed to continue. The faculty member and Chair then will seek written approval from the Dean's Office. Once an agreement is approved, the emeritus faculty will be given the position and title of Affiliated Principal Scientist. The term of eligibility shall be 3 years, and is renewable, upon application and with approval by the Chair and the Dean's Office.

Individuals who are not regular faculty members at Emory at the time the proposal is submitted but who will be appointed to the regular faculty prior to the funding of the proposal by the external sponsor must include an offer letter from the Dean in order to submit proposals as a PI or Co-PI.

Individuals who hold faculty equivalent positions or staff Scientist above the assistant level [*Job Codes: SC61-SC63*] are eligible to serve as PIs upon review and approval by the department and the Senior Associate Dean for Research.¹ The department as a whole or a departmental committee charged with review of credentials of affiliated members of the department (e.g., adjunct and associated faculty) will review the application for PI status in the department and must agree to use of departmental resources to support the PI's research. The department then will seek written approval for PI status from the Senior Associate Dean for Research. This approval is not pro forma and will be decided by the Senior Associate Dean for Research based on the commitment and grant activity of the sponsoring faculty and the experience of the proposed PI. Staff Scientists or faculty equivalents who are members of a College service center need only apply directly to the Senior Associate Dean for Research. The term of eligibility for PI status shall be a maximum of three (3) years, assuming continued employment in good standing. The term is renewable, also assuming continued employment in good standing, and upon application and approval by the department and the Senior Associate Dean for Research.

Staff Scientists at the assistant level [*Job SC60*] are not eligible to be listed as PI or Co-PI on proposals. Emory part-time, temporary, and visiting faculty, and those holding courtesy appointments are not eligible to submit research proposals to external sponsors on which they are listed as PI or Co-PI. They may be listed as co-investigators on proposals submitted by regular, full-time Emory faculty. Except as noted below, trainees, including but not limited to undergraduate and graduate students and postdoctoral fellows, are not eligible to submit research proposals to external sponsors on which they are listed as PI or Co-PI.

Visiting Assistant Professors, whose appointment contracts specify that they may devote 50% of their Academic Year effort to research are eligible to serve as PIs for up to a 3 year term upon review and approval by the department and the Senior Associate Dean for Research. The department as a whole or a departmental committee charged with review of credentials of affiliated members of the department (e.g., adjunct and associated faculty) will review the application for PI status in the department and must agree to use of departmental resources to support the PI's research. The department then will seek written approval for PI status from the Senior Associate Dean for Research. This approval is not pro forma and will be decided by the Senior Associate Dean for Research based on the departmental commitment.

Exceptions

Funding announcements that specifically require non-faculty PIs (e.g., NIH F32 applications, DP5 applications, and some NIH K proposals) are an exception. Applicants for these awards who currently devote 100% effort on sponsored projects should notify Emory College Office of Research Funding and Support of intent to submit at least three (3) months in advance of the agency deadline, so that arrangements can be made to devote non-sponsored effort to proposal preparation. Failure to do so may result in inability to submit the proposal.

- Emory College acknowledges the importance of supporting training opportunities and the transition from postdoctoral to independent investigator status. Thus, postdoctoral fellows may submit grant proposals as PIs under the following circumstances. **This exception applies to postdoctoral fellows² only:**

1. All applications by postdoctoral fellows must have a faculty sponsor who is a regular member of the faculty and will certify in writing her/his ability to support the work. The faculty sponsor must certify that s/he will provide the necessary space, equipment, and personnel support for the work. The sponsor also must certify that s/he will provide any necessary materials, supplies, and so forth for the work that are not supported by the grant.
2. The faculty sponsor must certify in writing that s/he assumes the ultimate responsibility for all reporting and effort certification requirements, final reports to the sponsor, and other grant management requirements.
3. Prior to submission of the application, participating departments must certify their acceptance of the fellow as a PI in their department and agree to use of departmental resources to support the fellow and the project. This certification may come from the faculty as a whole or from a departmental committee charged with review of credentials of affiliated members of the department (e.g., adjunct and associated faculty). Fellows may be certified once; certification is for a maximum of 5 years, and cannot be renewed.
4. Prior to submission, the participating department must identify an alternate faculty sponsor to oversee the fellow and project in the event that the faculty sponsor were to terminate their relationship with the fellow or leave Emory during the term of the project.
5. Postdoctoral fellow PIs shall be advised that if they change institutions between the time of application and award, or post award, and they wish to take the award with them to the new institution, in accordance with agency and university policies, the PI must request from the sponsoring agency and from Emory University permission to transfer the award. Transfer of an award is not automatic.
6. Postdoctoral fellows wishing to submit a proposal who already devote 100% effort on sponsored projects should notify Emory College Office of Research Funding and Support of intent to submit at least three (3) months in advance of the agency deadline so that

arrangements can be made to devote non- sponsored effort to proposal preparation. Failure to do so may result in inability to submit the proposal.

¹ Faculty equivalents or staff Scientists above the assistant level wishing to submit a proposal who already devote 100% effort on sponsored projects should notify Emory College Office of Research Funding and Support of intent to submit at least three (3) months in advance of the agency deadline so that arrangements can be made to devote non- sponsored effort to proposal preparation. Failure to do so may result in inability to submit the proposal.

² A Postdoctoral Fellow in Emory College of Arts and Sciences is an individual holding a Ph.D. or equivalent degree who is appointed primarily to receive advanced research and/or instructional training under the guidance of a mentor holding a primary faculty appointment in Emory College.