

Principal Investigator Eligibility and Criteria for Exceptions

For the purposes of this policy, the term "Principal Investigator" shall encompass the terms Principal Investigator, Project Director, Program Director, and the like, and shall mean a single individual who in the event of an award from an external funding agency shall have the full and final responsibility for the conduct of the project as proposed. The Principal Investigator shall use all reasonable efforts to comply with the terms, conditions, and policies of both the sponsor and the University, including the submission of all required reports.

Policy

Dartmouth College policy states that only full-time faculty members or full-time research positions (defined for each academic area in the Appendix) may routinely serve as Principal Investigators on sponsored programs. The intent of this policy is to ensure that the responsibility for setting the direction of Dartmouth's research rests squarely with the Faculty, who are primarily responsible for the quality of the research and the reputation of the University. Dartmouth's research directions are charted by the Faculty with a view towards their impact on the education of undergraduate, graduate students, postdocs and residents. In this sense, research and scholarship are an integral part of Dartmouth's educational mission. In order to maintain a careful balance between scholarly activities and teaching the responsibility of the Principal Investigator must be primarily reserved to the Faculty.

However, certain other University appointments are allowed to serve as Principal Investigators for projects that relate to their official duties within certain limitations as described in the individual policies of each academic area found in the Appendix.

Student Initiated Projects

Certain sponsored programs have as their purpose the support of graduate education or research through student-initiated projects, (e.g., doctoral dissertations, predoctoral research fellowships). For these sponsored programs, the following conditions apply:

1. A full-time faculty member or equivalent, as identified in the policy, must serve as Faculty Advisor.
2. The Faculty Advisor shall retain the responsibilities of a Principal Investigator under this policy.
3. The graduate student shall be responsible for the intellectual conduct of the project within the oversight of the Faculty Advisor.

The proposal to the sponsor may name the graduate student as Key Personnel, as long as the Faculty Advisor is named as the responsible individual (i.e., Principal Investigator, Project Director or Faculty Advisor). The proposal should acknowledge the student's authorship of the proposal, as appropriate.

A. Faculty of arts & Sciences

(refer to the FAS handbook)

B. Dartmouth Medical School

CRITERIA FOR PRINCIPAL INVESTIGATOR (PI) DESIGNATION

(I) All members of the faculty of Dartmouth Medical School (DMS) on the regular track or research track having the rank of Assistant Professor, Associate Professor or Professor, are eligible to be a Principle Investigator (PI) on an extramurally funded award.

(II) Individuals having the rank of Instructor on the DMS faculty are eligible with the specific permission of the Chair of their Department. The Chair's permission must be obtained for each application prior to submission, and must consider space, equipment and resource needs as well as financial, programmatic and reporting elements that would be required should the award be funded.

(III) Adjunct faculty of DMS wishing to be PI on an application seeking extramural funding must seek the permission of both their Department Chair and the Dean of DMS prior to submission of the application. The Department Chair in consultation with the Dean's Office must determine that PI status is appropriate and must determine that space, equipment and resource needs as well as financial, programmatic and reporting elements that would be required should the award be funded.

(IV) All others associated in various ways with DMS must be approved as exceptions on a case-by-case basis by an appropriate DMS Department Chair and approved by the Dean of DMS, as detailed below.

Exceptions

Exceptions to this policy may only be made with the prior approval of the appropriate Dean upon recommendation of the Department Chair. With regards to non-academic units of the University, the Provost will approve exceptions to this policy upon recommendations from the Center/Institute Director. All exceptions will be made under the following considerations:

1. An individual petition to serve as a Principal Investigator must be specifically approved on the basis of the particular facts involved and not as a routine procedure. The approval will be for a specific project duration, and will allow the PI to submit a given project to multiple funding agencies.
2. The individual must have the necessary experience and independence to compete for his/her own sponsored program and to administer the project should it be funded, as judged by the faculty sponsor, the Department Chair or center/institute/laboratory Director as appropriate.

3. The individual must obtain written commitments from the Department Chair or center/institute/laboratory Director as appropriate, required to guarantee necessary laboratory space or other resources or support for the length of the specific project. These commitments must be submitted to the Office of Sponsored Projects at the time the application is reviewed by OSP prior to submission.

4. Normally when principal investigators leave the institution the sponsored awards transfer to the principal investigators new institution. However, on the occasion when the sponsored award remains at the institution, the Department Chair or center/institute/laboratory Director, as appropriate, and a specifically identified faculty member (faculty sponsor) must agree to assume responsibility for the awarded sponsored program. A plan should be developed for administering the sponsored program and should, *at a minimum*, include the identification of a specific individual faculty member who will assume the responsibilities of Principal Investigator to bring the program to a close.