



Downstate Health Sciences University
Office of Research Administration

The Research Foundation for SUNY
Policy and Procedure

Subject: PI Eligibility

Effective Date: November, 2014

Issued By: The Office of Research Administration (ORA)

Responsible parties:

- Vice Presidents
- Deans and Associate Deans
- Department Chairs
- Principal Investigators
- PI- Principal Investigator
- Sponsored Programs Administrators
- Department Research Administrators
- Grant Managers
- RFCO- Research Foundation Central Office

Department Chairs:

- Promote faculty and staff awareness of this policy
- Approve for submission only those applications from individuals who qualify to serve as a PI under this policy.

Deans:

- Approve PI eligibility for students seeking PI status

Vice President for Research:

- Approve PI eligibility waivers for non-PI eligible employees**

Sponsored Programs Staff (Office of Research Administration, Pre-Award):

- Submit only those applications for sponsored funding from an eligible PI

Only eligible Downstate faculty and staff may serve as a Principal Investigator/Program Director on externally funded projects, administered through the Research Foundation for SUNY. The PI must be an employee of SUNY or the Research Foundation for SUNY. In addition to having a specific title, each employee must have an Institutional Base Salary (IBS) in order to apply for grant funding.

To serve as a PI, the employee must personally participate in the project to a significant degree. The PI bears the primary responsibility for all programmatic and financial aspects of the sponsored program and accepts overall responsibility for directing the research and complying with the sponsors terms and conditions along with those policies of The Research Foundation for SUNY, the State University of New York and Downstate Medical Center.

Co-Investigators (other than students) must meet the same eligibility criteria as the PI. A Co-Investigator is an individual collaborating with the PI in the scientific development or execution of a project. They typically devote a specified percentage of time to the project. The designation of a Co-Investigator does not affect the PIs role as having primary responsibility for directing the research, financial oversight and compliance with relevant institutional policies, procedures and sponsor guidelines.

Downstate faculty and staff automatically eligible to serve as a PI include:

1. Academic Appointees who hold the titles of Professor (Distinguished, University), Associate/ Assistant Professor, Instructor, Professor of Clinical (Associate/Assistant). Some of these titles may be qualified by the prefix “Research” or “Clinical.”
2. Non-Academic Professional Appointees who hold the titles of Research Scientist, Investigator, Research Scholar.

Others may also be eligible to apply as a PI for a specific funding opportunity when the funding opportunity is limited/targeted to fulfill a sponsor requirement, i.e. fellowships, career development, etc. The Funding Opportunity Announcement (FOA) will identify who can apply for these types of funding. These titles include:

1. Pre-and Postdoctoral Professionals *
2. Graduate Students *
3. Residents *

The project must be carried out under the mentorship of an established faculty investigator who is named in the proposal, and must be conducted within the overall intellectual scope and laboratory space of the faculty advisor. For these applications, the Mentor/Faculty Advisor/Sponsor must be PI eligible and be listed on the application as a co-investigator.



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*These applications require the prior written approval of the appropriate Dean of the college or school in which the student is registered.

Exceptions to the Policy: **

A PI Waiver Exception form is available on our website for any employee with an IBS that does not meet any of the criteria above. This form must be signed by the Dean of the College or School where the employee is located PRIOR to the Office of Research Administration review of the proposal. This form can be found here: <http://research.downstate.edu/resources/forms.html>