

---

## PRINCIPAL INVESTIGATOR ELIGIBILITY

---

**Category:** Research

**Date Established:** 11/05/2014

**Responsible Office:** Office of Research and Sponsored Programs (ORSP)

**Date Last Revised:** 04/02/2024

**Responsible Administrator:** Associate Provost for Research Development and Administration

---

### POLICY

---

This Policy defines the eligibility requirements for Principal Investigator (PI) status on externally funded research, training, or other sponsored projects.

---

### SUMMARY

---

Only eligible SUNY Oswego faculty and staff may serve as a Principal Investigator (PI) on externally funded research, training, or other sponsored projects.

---

### BACKGROUND

It is the intent of this policy that only SUNY Oswego faculty and staff with PI status apply for external funding for sponsored projects.

### APPLICABILITY

This policy applies to all individuals seeking PI or Co-PI status on any sponsored project.

### DEFINITIONS

**Principal Investigator:** A Principal Investigator (PI) is a SUNY Oswego faculty or staff member who bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, financial oversight, and compliance with relevant university policies and sponsor terms and conditions.

**Co-Principal Investigator:** An individual collaborating with the PI in the scientific development or execution of a project may be a Co-Principal Investigator (Co-PI). The designation of a Co-PI does not affect the PI's role as having primary responsibility for directing the research, financial oversight, and compliance with relevant university policies and sponsor terms and conditions.

**Sponsored Project:** A Sponsored Project is any externally funded research, training, evaluative testing, or public service project directed by SUNY Oswego faculty or staff as part of their university work that requires the university to perform a specified program or deliver a specified product.

---

### POLICY STATEMENT

In the conduct of sponsored research, the Principal Investigator (PI) bears primary responsibility for the intellectual conduct of a project and accepts overall responsibility for directing the research, overseeing financial transactions, and compliance with the sponsor's terms and conditions and relevant policies and procedures. To serve as a PI, the investigator must personally participate in the project.

SUNY Oswego faculty and staff eligible to serve as a PI include:

1. Academic appointees who hold the following titles: Dean, Distinguished Service Professor, Professor, Associate Professor, Assistant Professor; Research Professor, Associate Research Professor, Assistant Research Professor; Librarian, Associate Librarian, Senior Assistant Librarian, or Assistant Librarian are automatically eligible to serve as a PI on externally sponsored projects.
2. Academic appointees with the titles Emeritus, Adjunct, or Visiting Professor may serve as a PI on externally sponsored projects only with the prior written approval of the appropriate dean.
3. Non-academic professional staff may serve as a PI on an externally sponsored project only with the prior written approval of the provost or appropriate vice president.
4. Co-principal Investigators (Co-PI), other than students, must meet the same criteria for eligibility as a PI.
5. Student eligibility for PI status is limited to a Co-PI with a faculty advisor or sponsor who independently qualifies as a PI. Applicants in this category require prior written approval from the appropriate dean of the college or school in which the student is registered.
6. In rare circumstances in which a SUNY Oswego employee wishes to serve as a PI but does not meet the eligibility criteria set forth above, a request for an exception to this policy must be submitted to the provost for consideration.

## RESPONSIBILITY

### Who should know this policy?

- Provost
- Vice Presidents and Assistant/Associate Provosts
- Deans and Associate Deans
- Department Chairs
- Principal Investigators
- Office of Research and Sponsored Programs staff

### Principal Investigator

- Obtain eligibility to serve as PI before making an application for sponsored program funding.
- Comply with this and all other applicable SUNY Oswego policies.

### Department Chair

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

**Dean**

- Approve PI eligibility for Emeritus, Adjunct, or Visiting Professors.
- Approve PI eligibility for students seeking Co-PI status.

**Vice President**

- Approve PI eligibility for non-academic professional staff.

**Provost**

- Approve PI eligibility for non-academic professional staff.
- On rare occasions, grant an exception to this policy.

**Office of Research and Sponsored Programs (ORSP) Staff**

- Submit only those applications for sponsored project funding from an eligible PI or eligible Co-PIs.

---

**Contact Information**

---

Office of Research & Sponsored Programs (ORSP)  
State University of New York at Oswego  
210 Sheldon Hall  
7060 State Route 104  
Oswego, NY 13126-3599

Phone: (315) 312-2888  
Email: [orsp@oswego.edu](mailto:orsp@oswego.edu)