



Guidance: Non-Faculty Serving as Principal Investigators

Background: At the discretion of the college dean or his or her designee, in consultation with the department or division chair, individuals who do not hold faculty appointments may serve as the principal investigator on an extramurally sponsored project.

A principal investigator (PI) is the individual who has overall responsibility and is accountable for the preparation of the proposal, conduct of the sponsored activity, reporting of results and the proper administration, including fiscal management, of the project. He or she is responsible for compliance with the terms and conditions of the award and all applicable laws, regulations and policies of the funding agency and Northeastern.

Individuals serving as Principal Investigators have been determined by the college to have the appropriate level of authority and responsibility to direct the project or program supported by the grant or contract.

The college's approval is project specific and documented by the University's electronic proposal award workflow system (ePAWs).

Conditions: The college's approval reflects, but is not limited to the following conditions:

- ✓ The proposed PI is also eligible under the funding agency's eligibility criteria;
- ✓ The proposed PI is or will be an employee of Northeastern at time of award; however, permission to serve as a Principal Investigator on an award does not guarantee continued employment and/or future promotions or appointments;
- ✓ The University, as the applicant organization, reserves the right to name a substitute PI, relinquish or decline an award;
- ✓ If appropriate, a faculty mentor/sponsor has been identified; and
- ✓ The proposed PI has read and understood applicable NU policies, including the Code of Ethics and Faculty Handbook and, if required by the College, taken RCR (CITI) training.

PI Responsibilities:

- ✓ Compliance with all applicable rules and regulations;
- ✓ Ensuring all project personnel are in compliance with all applicable regulations and policies;
- ✓ Ensuring all project personnel have taken all required training;
- ✓ Submission of required reports; and
- ✓ Financial management.

Colleges may wish to use the following form to further document their review and approval of requests by non-faculty to serve as Principal Investigators.



PI Request by Non-Faculty

Name:	Department/Division:
Current Appointment Title:	% Time:
FoA/RPF:	Funding Agency:
Function: Research/Instruction/Other	Activity Type:
Project title(s):	
Project Period (s): _____ to _____	

Provide a brief explanation for requesting PI Status (attach CV/Bio-Sketch):

The undersigned applicant agrees and confirm that he or she is has read, understood and is compliance with the following policies, as amended to date:

- University’s Drug-Free Workplace Policy;
- University’s Conflict of Commitment and Interest policy (including completing all required disclosures, either prior to proposal submission or as soon as possible);
- University’s Export Control Policy (including the successful completion of all required tutorials and trainings, either prior to proposal submission or as soon as possible); and
- University’s policy and procedures for dealing with and reporting possible misconduct in science.

The undersigned applicant certifies that that he or she:

- Will comply with all applicable University and external sponsor policies, rules, and regulations governing the proposal and award.
- Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency.
- Is not individually delinquent on any debt (other than to the IRS or Social Security Administration) owed to the U.S. Government.
- To the best of their knowledge, no funds from any source have been paid or will be paid, by or on behalf of the undersigned, to influence or attempt to influence an award of any sponsored contract or grant.

Signature of Applicant PI/Date

APPROVALS:

Signature of Dean of College/School/Date