



LOMA LINDA UNIVERSITY
HEALTH

OPERATING POLICY

CATEGORY: Research Affairs/Grants

Effective: 8/13/2013

SUBJECT: Principal Investigator Eligibility

Implemented: 8/13/2013

Replace: 5/20/2009

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RELATED ENTITY SPECIFIC POLICIES:

Please note: Definitions are found at the end of the associated procedure. Words used will be underlined the first time they appear in a document.

1. The title of principal investigator (PI) identifies the person(s) who is (are) responsible for all aspects of a particular sponsored project awarded to the institution. PIs direct all such projects under the oversight of institutional officers and with the approval of the Vice President for Research Affairs (VPRA). PIs must direct and identify the resources necessary to complete the projects, have a working knowledge of applicable institutional, governmental, commercial and not-for-profit organizations' policies and regulations. LLUAHSC, the federal government, and all sponsors hold the PI solely responsible for ethical and professional conduct of the research and safety of research personnel as defined by the University Administrative Handbook, Chapter 3.
2. This policy and its procedures establish criteria for individuals to assume the role of PI on a sponsored project.
 - a. Faculty members in the following general classifications are eligible to serve as PIs:
 - (1) Full-time (FT)
 - (2) Administrative full-time (AFT)
 - (3) Geographic full-time (GFT)
 - (4) Part-time (PT)
3. Any officer of the institution or any person holding an appropriate faculty appointment and/or rank at the level of Assistant Professor or above, in any school of the institution, is eligible to serve as a PI. Eligibility is determined according to the following minimum guidelines, with provisions for individual schools to be more restrictive in their requirements.

- a. Faculty members holding the following academic ranks are eligible to serve as PI:
 - (1) Assistant Professor
 - (2) Associate Professor
 - (3) Professor
 - (4) Emeritus
 - b. An employee or student who does not have a faculty appointment may collaborate with an experienced investigator who agrees to oversee the study as the PI.
 - c. Voluntary (V) faculty members are **not** eligible to serve as PI. (See #5 for exceptions).
 - d. Faculty members holding the rank of Instructor are **not** eligible to serve as PI. (See #5 for exceptions).
4. The faculty member is also ineligible to serve as PI if the proposed research is a partial fulfillment of a degree program in which he/she is enrolled.
 5. Other employees may apply to the VPRA to be authorized to serve as PI. After review of an application, the VPRA will recommend an action to the Research Oversight Committee (ROC), which will make the final decision. The individual has the opportunity to appeal that decision by personally presenting his/her case to ROC. Approval must be granted before the proposal is processed.

Approved: LLUAHSC President's Council – August 13, 2013