

Title: Procedure for requesting PI and CO-PI status	Responsible Department(s): CFAES Office for Research and Graduate Education	Date Issued: July 6, 2023
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**Standard Operating Procedure
Requesting Principal Investigator (PI) status**

I. Purpose & Overview

A. Purpose

To describe the CFAES Office for Research and Graduate Education procedure for requesting Principal Investigator Status.

B. Qualifications

PI status is granted using the following guidelines:

- PI status is automatically granted for individuals holding the following titles, provided the individual is a faculty member having at least a 50 percent appointment: professor; associate professor; assistant professor; research professor; research associate professor; or research assistant professor.
- Persons holding other faculty titles may be eligible for either PI or co-PI status, at the discretion of their unit.
 - PI status for emeritus faculty can be requested as described below. These appointments are made for three-year terms and may be renewed.
- Persons holding non-academic titles (i.e., staff) may be granted the appropriate PI status for projects directly related to the mission and responsibility of their office, using the process outlined below.
- Graduate students or post-doctoral trainees, including residents, may be granted limited PI status for the purpose of submitting funding proposals and receiving funding to support their work.
 - The Sponsored Program Officer for such funding proposals may activate limited PI status for these trainees. Such proposals should list the supervising faculty member with PI status on the ePA-005 as a co-investigator (greater than or equal to 0% effort, based on funding mechanism). This allows trainees to serve as PI on such proposals or grants; however, all regulated research activities (e.g., human subjects, animal, or biosafety research) require a faculty member with PI status to assume responsibility for these activities. These appointments are for a three-year term and may be renewed as appropriate.

C. Definitions

- Principal Investigator (PI) status: this status is granted to an individual who has the appropriate level of authority and responsibility to direct research projects and activities, including technical conduct of the research; compliance with the terms and conditions of research sponsors; financial management of research funds; and compliance with all university and sponsor policies and procedures.
- Co-PI status: this status is granted to an individual who may conduct research only with the participation and oversight of an individual with PI status. The participating PI has all the responsibilities described above.
- Limited PI status: this status is granted to an individual in training to facilitate individual funding proposals and awards.
- Candidate: this is an individual for whom PI, co-PI or limited PI status is being requested.

II. Procedure

A. Procedure for requesting PI (or co-PI) Status

The CFAES Office for Research and Graduate Education will review all requests for PI status. Requests are to be submitted by the candidate's dean, chair, or director at least two weeks in advance of any proposal deadlines that the individual would be serving as a PI or Co-PI.

- A formal request must be made by the supporting college's associate dean of research, or by a center director or unit leader for those not reporting to a college.
- The documentation required for college or unit-level review includes:
 - A letter requesting PI (or co-PI) status must be written (on department letterhead) by a candidate's dean, chair or director
 - The individual's CV must accompany the request letter
 - The letter should be addressed to the Associate Dean for Research and Graduate Education for approval. (All requests should be directed to kaser.37@osu.edu).
- Submit the request letter and CV to the [associate dean for research](#) of the candidate's college for approval.
- Once approved at the college level, The Associate Dean for Research and Graduate Education (or designee) will forward their approval and all documentation to the Office of Research for final approval.
 - ADRs should send all supporting documentation to the Office of Research at research@osu.edu. Direct any questions regarding the review and appointment procedures to the Office of Research at research@osu.edu or call 614-292-1582.
- The original requestor, associate dean of research and candidate will be notified once the request has been approved.

B. Research Scientist Appointments

The university recognizes that outstanding research and scholarship are required to have distinguished undergraduate, graduate and postdoctoral training programs. Research scientists and senior research scientists are an important part of the research endeavor of the university. The principal duty of individuals in these positions is to conduct research related to the academic program of the appointing unit(s). The research program may involve students, classified staff, administrative and professional staff, and other faculty.

- University [Qualifications and Procedures](#) for research scientist appointments
- Research Scientists and Senior Research Scientists may be appointed in a department, division, center, institute, or laboratory. The request for the appointment may come from any faculty member (sponsor) and the department chair. All requests should be sent to the Office of Research before the information is entered into the Human Resources (HR) system. Work with your Human Resources Consultant upon proposing an appointment to ensure all documentation is properly prepared.
- Requests must include:
 - a letter of support from the department chair (on department letterhead), including:
 - the individual's CV
 - a position description
 - forwarded to the CFAES Associate Dean for Research and Graduate Education
 - review by the CFAES Associate Dean for Research and Graduate Education (or designee)
 - Once approved by the Office of Research, CFAES will send the approval to the HR representative for to assist with the requisition for the new position in Workday and/or reclassifying an existing employee to the new classification.
- Research Scientists appointment must be approved by the Associate Dean for Research and Graduate prior to the appointment in Workday.

III. Guiding Documents

OSU Office of Research, Principal Investigator Status:

<https://research.osu.edu/building-your-research-program/becoming-principal-investigator/pi-status-and-research-scientist#PIStatusQualificationsandProcedure>

Version no.	Effective date	Description of change/sections revised	Reason for change	Author name
1	02/08/2019	New procedure	Process Improvement	Lori Kaser
2	07/06/2023	Updated procedure and definitions	Process Improvement	Lori Kaser