

Guidance on Emeritus Faculty member service as Principal Investigator, co-Principal Investigator, or Research Fellow on research projects

January, 2017

Background

Members of the Emeritus faculty can make valuable continuing contributions to the university's missions, including service as Principal Investigator (PI) or co-Principal Investigator (co-PI) on research grants and contracts. The PI's and co-PI's responsibilities include many for which the university makes explicit promises to stakeholders, including obligations to research sponsors, commitments to volunteers in human subjects studies, and commitment to wise and respectful use of animals in research.

University policies require a PI or co-PI to be a university employee. In addition to compliance with the Fair Labor Standards Act, status as an employee, accountable to an appropriate person in the academic ranks, establishes a line of accountability consistent with the legal obligations and assurances the university makes to stakeholders. On occasion, there is intent that a member of the Emeritus faculty serve as PI or co-PI, and that the person prepare and submit grant applications and protocols for institutional review prior to availability of funding necessary to establish employment. This guidance describes means by which submission of grant applications and Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC) submissions can be accepted and processed in anticipation of the Emeritus faculty member's engagement as an employee.

Note: Emeritus Faculty Members who wish to continue research activities at the university into retirement, without taking on the obligations of PI or co-PI may seek and maintain an appointment as an unpaid Research Fellow. In the event that an Emeritus Faculty Member wishes to continue drawing upon the funds in a research account (as well as any other type of university account) that is active at the time of her or his retirement, then he or she should arrange prior to retiring for an employed member of the university such as a department chair or center or institute director to have co-signatory authority on such accounts as a non-employee may not have sole signatory authority on any university account. See the description of University Research Fellowship Appointments on Provost's web site.

Guidance

When a member of the Emeritus faculty anticipates service as a principal investigator or co-Principal Investigator and is not a current employee, or in the case that the person's appointment will expire prior to the start of the research project, the proposed PI or co-PI, department chair or institute/center director, and dean should proceed as follows:

1. The Chair of the appropriate department or Director of the appropriate institute or center and the Dean of the College to whom the Chair or Director reports (or the Dean alone if the Emeritus faculty member is to report directly to the Dean), should provide a letter to the Emeritus faculty member describing the intent to engage the Emeritus faculty member as a Research Scientist, Engineer or Scholar at the appropriate rank, generally a Senior Scientist or Scholar, with pay, contingent upon

receipt of funding for the research project. The letter should make clear the intent of the Chair, Director or Dean to maintain the same relationship with the Emeritus faculty member as is maintained with any full time member of the departmental or college faculty. The letter need not comprise a formal offer of employment; it should merely express intent to provide an appropriate appointment upon availability of funding.

2. Thereafter, proposals and protocols may be submitted, with the Chair, Director, or Dean's approval as applicable under grant submission, IRB and IACUC policies and procedures. Prior to the Emeritus faculty member becoming an employee, a copy of the letter described above should be attached to each submission.