

APPLICATION FOR THE EXCEPTIONAL GRANTING OF FAS OR SEAS PRINCIPAL INVESTIGATOR RIGHTS

(NOTE: ALL SECTIONS ARE TO BE COMPLETED BY THE DEPARTMENT CHAIR, SEAS AREA CHAIR, SEAS SPONSOR, OR CENTER DIRECTOR OF THE UNIT IN WHICH THE PROJECT(S) WILL BE HOUSED. INDICATE N/A WHERE APPLICABLE.)

This form should be used to request PI Rights to apply for research funding. This form should be completed by the chair of the Department or Center director in consultation with the applicant and department administrator. This form should be completed and submitted no later than 10 business days prior to the application deadline.

Required documents to submit with this questionnaire: CV, Certificate of training completion, Current & Pending (if applicable)

____ I have completed the "FAS and SEAS Update for Faculty and Principal Investigators" in the Harvard Training Portal.

____ I have attached to this questionnaire the "FAS and SEAS Update for Faculty and Principal Investigators" certificate of completion from the Harvard Training Portal.

Section 1. PI, Department and Position Information

1a. Name of proposed investigator: _____

1b. Current Position (including school or institute(s) of current appointments). If more than one appointment, please list all, whether internal or external to Harvard:

Primary Position/title: _____

Date of appointment: From _____ to _____

Secondary Position/title (if applicable): _____

Date of appointment: From _____ to _____

OR

Without limit ☐

Section 2. Request Details

2a. Please provide a brief description for the nature of this request. Indicate proposed project(s) and potential sponsor(s).

2b. Justification: State reason for request for PI/Co-PI rights. Why does this case merit an exception to the FAS/SEAS policy on PI rights?

2c. Type and duration of request:

Type (select 1 of the 2 options): Request for PI rights

☐

Co-PI rights

☐

Duration (select 1 of the 4 options):

☐ For the following project: _____

☐ For the following range of projects: _____

☐ On a continuing basis.

☐ For the period from _____ to _____.

Please note that the granting of PI status does not, in and of itself, imply any other change in the nature or duration of the investigator's appointment in the FAS, which must otherwise be consistent with the terms specified in the Appointments Handbook and in the Stipulations Regarding Research Appointments Within the Faculty and Affiliated Institutions, available at <https://research.fas.harvard.edu/policies/stipulations-regarding-research-appointments-within-faculty-and-affiliated>.

Section 3. Describe the Experience and Scholarly Qualifications of the Proposed Investigator

(please also provide a copy of your CV separately)

Section 4. Availability of Time and Commitments

4a. Please provide a copy of your most recent Current and Pending/Other Support page separately.

These documents include a list of all current awards that provide research funding and/or have a quantifiable effort commitment. If you are listed as Key Personnel on an award, that award should be included in your Current and Pending or Other Support Pages

4b. Please list outside activities (If applicable, please list below or provide a copy of current and anticipated obligations to outside activities including appointments outside of Harvard, consulting, or other, separately.)

4c. Other funding: Please include a list of all other awards (external to Harvard or internal at Harvard) that the proposed PI is listed on in any capacity, paid or unpaid. For visiting appointees, please include a list of all awards at their home institution or otherwise and the amount of effort for each, whether paid or unpaid.

5. Limitations: Are there any special limitations that should be imposed on the proposed investigator's ability to apply for and serve as PI on proposals?

☐ Limitations on areas of inquiry for which support may be sought. If so, please clarify:

☐ Limitations on types of appointments to be paid with sponsored funds. If so, please clarify:

☐ Other:

Section 6. Oversight and Resources

6a. Will oversight by an individual with a professorial appointment in the Faculty be necessary to ensure that the proposed PI is familiar with the various programmatic, fiduciary, and other administrative and compliance responsibilities for which s/he will be responsible?

☐ Yes; please include supervisor's name: _____

☐ No; please explain: _____

6b. Will the proposed project be accommodated without incremental resources? If not, what are the nature and the source of any additional resources that will be provided (including, but not limited to, space, equipment, and personnel) to complete the project?

6c. Is the proposed investigator applying for a sponsored award that will extend beyond the end of his/her appointment at the University? If yes, what suitable arrangement is proposed?

Section 7. Policies

I have informed and am assured of the proposed PI's awareness of the following (check all that apply):

☐ Outside Activities and Interests Reporting (OAIR) disclosure: In accordance with [University](#) and [FAS/SEAS](#) policies regarding financial conflict of interest and outside activities, the proposed PI agrees to submit an annual disclosure of their and their immediate family members' financial interests and outside activities in the preceding twelve months in any related outside entity, using the online Outside Activities and Interests Reporting (OAIR) application (<https://oir.harvard.edu>) as required based on appointment type or sponsor.

☐ Affirmation of policy awareness: The proposed PI is aware that FAS/SEAS academic appointees should inform the Chair of the Committee on Professional Conduct or the Dean, ordinarily the former, if they may have a potential conflict of commitment in accordance with the [Policies Relating to Research and Other Professional Activities Within and Outside the University](#); or, if they have a staff appointment, they must disclose conflicts as explained in Section 2 of the [Personnel Manual](#).

OFFICIAL ENDORSEMENT BY THE PRINCIPAL INVESTIGATOR

(This person should be the individual whose lab or group the person requesting PI rights
is working in/with)

Name: _____

Position: _____

Signature: _____

Date: _____

**OFFICIAL ENDORSEMENT BY THE DEPARTMENT CHAIR, SEAS AREA CHAIR, SEAS SPONSOR, OR
CENTER DIRECTOR OF THE UNIT IN WHICH THE PROJECT(S) WILL BE HOUSED:**

Name: _____

Position: _____

Signature: _____

Date: _____

TO BE COMPLETED BY THE FAS DIVISIONAL DEAN OR SEAS DEAN

☐ Approval not granted; Enter reason:

☐ Approval granted (select one of the following):

☐ For the following project: _____

☐ For the following range of projects: _____

☐ For the period from _____ to _____.

☐ On a continuing basis dependent upon the proposed PI's continuing appointment at the
University.

This individual holds a _____ month appointment.

This individual is/is not eligible to receive supplemental salary.

☐ Yes, this individual is eligible.

☐ No, this individual is NOT eligible.

Signature: _____

Date: _____