

# INVESTIGATOR FORM

Principal Investigator: \_\_\_\_\_ Proposal Number: \_\_\_\_\_

Sponsor: \_\_\_\_\_ Project Number: \_\_\_\_\_

Project Title: \_\_\_\_\_

**Overview:** Expectations of external sponsors require varying institutional procedures which necessitate clearly identifying individuals conducting research activities. Completion of this form provides information to OSP and the COI Office critical for ensuring that the University adheres to relevant regulations and policies.

**Instructions:** Submit this completed form to your [OSP Grants and Contracts Administrator](#) in anticipation of proposal submission where the source of funding will be from any of the following sponsors (directly or as flow through):

Agency for Healthcare Research and Quality (AHRQ)  
Agency for Toxic Substances and Disease Registry (ATSDR)  
Alliance for Lupus Research (ALR)  
Alpha-1 Foundation  
American Asthma Foundation (AAF)  
American Cancer Society (ACS)  
American Heart Association (AHA)  
American Lung Association (ALA)  
Arthritis Foundation (AF)  
Centers for Disease Control and Prevention (CDC)  
CurePSP

[New] Department of Energy (DOE)

[New] Department of Health & Human Services (DHHS)

Food and Drug Administration (FDA)

Health Resources and Services Administration (HRSA)

Indian Health Service (IHS)  
Juvenile Diabetes Research Foundation (JDRF)  
Lupus Foundation of America (LFA)

**National Institutes of Health (NIH)**

**National Science Foundation (NSF)**

[New] **National Aeronautics and Space Administration (NASA)**

Office of Global Affairs (OG)

Office of the Assistant Secretary for Health (OASH)

Office of the Assistant Secretary for Planning and Evaluation

Office of the Assistant Secretary for Preparedness Response (ASPR)

Office of Public Health and Science

Substance Abuse and Mental Health Services Administration (SAMHSA)

Patient-Centered Outcomes Research Institute (PCORI)

Susan G. Komen for the Cure (Komen)

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Investigator's Name (first and last)	Role on the Project	Affiliation and Job Title	OSP Use: EMPLID	OSP Use: OIDF Date

\*List additional Investigators on a separate attached page.

**Other Significant Contributors (OSCs):** Individuals identified as OSCs may or may not meet the definition of Investigator. OSCs deemed to be Investigators should be listed in the table above. List all other OSCs below. Personnel entered here will be added to the eCompliance OSPA project listing. Access to an OSPA project will grant access to the project in eCompliance allowing for live status updates.

Non-Investigator OSC's Name (first and last)	Affiliation and Job Title	OSP Use: EMPLID (if applicable)

\*List additional OSCs on a separate attached page.

By signing below, the Principal Investigator certifies that this form contains all Investigators and OSCs currently named for the project. An updated Investigator Form must be submitted to and approval received from the COI Office before any additional Investigators participate in the project.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Principal Investigator (printed name)

Form prepared by: \_\_\_\_\_ Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

## PROPOSAL SUBMISSION REQUIREMENTS

**All UMKC Investigators** must have a current Outside Interest Disclosure Form (OIDF) on file (i.e., OIDF submitted within 12 months of the submission date for this proposal) prior to proposal submission when the source of funds will be from any of the sponsors listed on page 1 of this form.

For **non-UMKC Investigators**, contact your [OSP Grants and Contracts Administrator](#) to identify required disclosures or certifications.

**PROPOSALS WILL NOT BE SUBMITTED UNTIL IT IS CONFIRMED THAT ALL UMKC INVESTIGATORS HAVE A CURRENT OIDF ON FILE AND THAT REQUIRED CERTIFICATIONS ARE RECEIVED FOR NON-UMKC INVESTIGATORS.**

## GUIDANCE FOR DETERMINING INVESTIGATORS

Principal Investigators (PIs) are responsible for identifying who on their projects meets the definition of an Investigator.

**Who is considered an Investigator?** UMKC utilizes the term "Investigator" to determine personnel required to comply with certain regulatory requirements, such as the rules governing conflict of interest. UMKC has concluded that the following definition should be used when determining who is an "Investigator" on a research grant proposal or project:

*Investigator* means the project director/principal investigator (PI/PD) and any other person, regardless of title or position, who is **responsible for the design, conduct, or reporting of research**, which may include, for example, collaborators or consultants.

The term "Investigator" includes, at a minimum, the following:

- All Key Personnel<sup>1</sup>. For PHS proposals, this is all individuals identified in the "Research & Related Key/Senior Personnel" section of the proposal application, except those individuals identified as "Other Significant Contributor" (OSC). Individuals identified as OSCs may or may not meet the definition of Investigator.

Some federal agencies have provided additional guidance to assist in making this determination. The Public Health Service (PHS) gives the following interpretation:

"...we note that the definition refers to the **function** of the individual on the PHS-funded project; i.e. his/her responsibility for the design, conduct, or reporting of the PHS-funded research, **and not to his/her title or the amount or source of remuneration.**"

The National Institutes of Health (NIH) provided the following FAQ to assist in identifying those personnel within the definition of "Investigator":

**Question:** *Who is considered an "Investigator" for this purpose? Is it only the Principal Investigator?*

**Answer:** No. "Investigator" means the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS (e.g., NIH), or proposed for such funding, which may include, for example, collaborators or consultants. Institutions should **consider the role, rather than the title, of those involved in research and the degree of independence with which those individuals work**. When the definition of investigator is limited to titles or designations (e.g., to principal investigators, key personnel, faculty) the risk that an unidentified FCOI may compromise the research enterprise increases.

The Department of Energy (DOE): "Investigator" means the PI and any other person, who is responsible for the purpose, design, conduct or reporting of a project funded by DOE

DOE program offices have the discretion to expand the definition to include any person who "participates" in the purpose, design, conduct, or reporting of a project funded by DOE. Such expansion will be specified in the application funding announcement and/or terms of the financial assistance award.

## RESPONSIBILITIES OF INVESTIGATORS

Once identified as an Investigator, those individuals will be required to comply with all applicable training and/or reporting procedures as defined by the sponsor's COI policy. The COI Office will contact all Investigators to inform them of the relevant responsibilities. When including Investigators from outside UMKC, the COI Office will work with the PI and the outside Investigators to address any reporting requirements necessary.