

INVESTIGATOR FORM

Principal Investigator: _____
Sponsor: _____
Title: _____

Proposal Number: _____
Project Number: _____

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

Instructions: Submit this completed form to your [SPA Senior 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, or for any sponsor who has adopted the policy):

Agency for Healthcare Research and Quality (AHRQ)	Indian Health Service (IHS)
Agency for Toxic Substances and Disease Registry (ATSDR)	Juvenile Diabetes Research Foundation (JDRF)
Alliance for Lupus Research (ALR)	Lupus Foundation of America (LFA)
Alpha-1 Foundation	National Aeronautics and Space Administration (NASA)
American Asthma Foundation (AAF)	National Institutes of Health (NIH)
American Cancer Society (ACS)	National Science Foundation (NSF)
American Heart Association (AHA)	Office of Global Affairs (OG)
American Lung Association (ALA)	Office of Public Health and Science
Arthritis Foundation (AF)	Office of the Assistance Secretary for Planning and Evaluation
Centers for Disease Control and Prevention (CDC)	Office of the Assistant Secretary for Health (OASH)
CurePSP	Office of the Assistant Secretary for Preparedness Response (ASPR)
Department of Energy (DOE)	Patient-Centered Outcomes Research Institute (PCORI)
Department of Interior (DOI) [New]	Substance Abuse and Mental Health Services Administration (SAMHSA)
Food and Drug Administration (FDA)	Susan G. Komen for the Cure (Komen)
Health Resources and Services Administration (HRSA)	United States Department of Agriculture (USDA) [New]

INVESTIGATORS: The table below should list all Investigators named for the project, including MU and non-MU personnel. For guidance on determining Investigators, refer to page 2 of this form and the University of Missouri System and Columbia Campus COI policies.

Investigators' Name (First and Last)	UM EMPLID (If Applicable)	Affiliation and Job Title	Role on the Project

*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.

Non-Investigator OSC's Name (First and Last)	UM EMPLID (If Applicable)	Affiliation and Job Title

*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 MU Investigators must have a current Conflict of Interest (COI) Disclosure Form on file (i.e., The COI Disclosure must be 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-MU Investigators, contact your [SPA Senior Grants and Contracts Administrator](#) to identify required disclosures or certifications.

PROPOSALS WILL NOT BE SUBMITTED UNTIL IT IS CONFIRMED THAT ALL MU INVESTIGATORS HAVE A CURRENT COI DISCLOSURE ON FILE AND THAT REQUIRED CERTIFICATIONS ARE RECEIVED FOR NON-MU 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? MU utilizes the term "Investigator" to determine personnel required to comply with certain regulatory requirements, such as the rules governing conflict of interest. MU 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 Personnel¹. 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.
 - ¹*Please Note: MU may utilize the term "key personnel" differently in other settings or situations (e.g., The Institutional Review Board (IRB) requires all personnel who interact with human subjects and/or human subjects data to be added as "key personnel" on an approved IRB application.)*

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 the University of Missouri-Columbia, the COI Office will work with the PI and the outside Investigators to address any reporting requirements necessary.