

I. SCOPE

This policy outlines the eligibility requirements to serve as a Principal Investigator (PI) at IWU for all external grants and sponsored projects activities.

II. POLICY STATEMENT

This policy defines the eligibility requirements to serve as a Principal Investigator (PI) at IWU for all external grants and sponsored projects activities. This Policy also describes the processes for requesting and approving exceptions to the PI eligibility requirements.

III. REASON FOR THE POLICY

This policy applies to all faculty and staff engaged in grant project activities and to all sponsored projects, regardless of whether funded by a federal, state, or private sponsor.

IV. PROCEDURES

The following classifications are eligible to serve as a PI at IWU:

- **Faculty with Full-time status**, including teaching, research, and clinical.
- **Senior Leadership**, including Vice Presidents, unit Directors, Deans, etc.
- **Librarians**
- **Academic Professionals in the Research Scientist series** (Sr. Research Scientist, Research Scientist)

In addition, undergraduate students, graduate students and postdoctoral scholars may be named as the PI on external fellowship or traineeship applications for their support, with the approval of the Faculty Advisor and Dean. In such cases, IWU will name the Faculty Advisor on all internal records and the Faculty Advisor will be responsible for grant oversight.

In the event of an apparent conflict between the policies of IWU and the funding agency, the more restrictive policy shall be followed.

Classifications that require approval for PI Status

- Faculty with visiting appointments of less than the term of the grant if awarded
- Faculty with Emeritus status
- All other full-time administrators
- Part-time and/or Instructional Faculty/Lecturer appointments
- Adjunct Faculty
- Postdoctoral scholars or trainees
- Research Associates

Classifications that Are Non-Eligible for PI Status

- Non-Faculty IWU visitor appointments
- Non-IWU personnel
- Graduate Students (except as described above).
- Research Assistants
- Undergraduate Students (except as described above).

The criteria for requesting approval to serve as PI (if the individual falls under a classification that requires approval) is as follows:

1. The individual must have the necessary experience and independence to compete for their sponsored program and to administer the project. In addition, they must have previous experience with similar research projects and the ability to comply with all the requirements of the award or project. Individuals must also have access to the appropriate personnel, facilities, and other resources to carry out the project.
2. Requests for exceptions for such individuals must be approved by the Chief Academic Officer upon the recommendation of the individual's Dean, Department Chair and Faculty Sponsor.
3. Each individual must have a Faculty Sponsor who will assume responsibility for the project if the PI can not fulfill the grant's requirements or leaves IWU during the project period.
4. *The Request for Approval to Serve as PI Eligibility Form* must be completed, signed, and submitted to the Grants Office along with a recent CV via email at least 20 days prior to the proposal deadline.

V. DEFINITIONS

Principal Investigator (PI): A Principal Investigator (PI) is responsible for the intellectual direction, design, scientific or technical conduct, administrative conduct, fiscal management, and reporting of research, training, or public service project. The PI is responsible for all aspects of a project. As such, IWU recognizes one individual as the PI, and they must personally participate in the project to a significant degree and provide oversight on project activities. In addition, all PIs must follow the responsibilities set forth by the sponsor and IWU when managing and/or performing work on grants and sponsored projects.

Co-Principal Investigator (CoPI): A Co-Principal Investigator (CoPI) provides significant contributions to the grant project but is not responsible for managing the project. Those eligible for designation as PI are also eligible to be designated as Co-PIs. Although the PI may delegate fiscal or administrative aspects of the project to a Co-PI or Co-I, the PI still bears primary responsibility for the project.