



## The College of Idaho

**Policy Name:** Grants Policy: Principal Investigator Eligibility

**Originator:** Academic Affairs

**Approved By:** John Ottenhoff, VPAA; Charlotte Borst, President; Michael Vandervelden, VPCR;  
Richard Erne, VPFO

**Approval Date:** December 2, 2015

**Revision Date:**

**Related Policies (if any):** Grants Policy: Grants, Cooperative Agreements and Contracts

**Summary/Purpose:** The statements below outline the criteria of eligibility for principal investigator (PI) status and the responsibilities of principal investigators.

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**Submission of Grant Proposals and Supervision of Sponsored Research:** As explained below, PIs must have a reasonable prospect of long-term employment at The College of Idaho.

Decisions made by sponsors to support a given project are based in part on the professional expertise of the approved Project Director or “Principal Investigator(s)” (referred to simply as “PI”) who submits the proposal or grant application. In most cases a successful proposal results in a formal, legally-binding agreement between the funding organization and the College that entails significant financial and legal obligations assumed by C of I. Under the general oversight and authority of the College, the title of PI identifies the individual responsible for the conduct of the project. These responsibilities include the intellectual merit and rigor of the project, technical compliance, completion of programmatic work plan, fiscal stewardship of grant funds, disposition of project income (if any), dissemination of the project outcomes and compliance with administrative requirements.

The following Statement of Principal Investigator Eligibility outlines institutional requirements for individuals who may serve as a PI (or a co-PI) on an externally sponsored project at The College of Idaho. PI eligibility status must be met at the time of the grant application, unless specifically permitted by the published guidelines of the funding mechanism, or the application is accompanied by a letter from the VPAA specifying that the applicant will be PI-eligible at the time of the award.

**Group 1: A full-time faculty or staff member in any of the following positions may be a PI:**

- Tenured or tenure-track faculty member
- Librarian holding faculty status
- Staff at position of Director or higher (Director, Associate Dean, Campus Minister, etc.)
- Other special appointments<sup>1</sup>

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<sup>1</sup> In exceptional circumstances special appointments with PI privileges may be approved on a case-by-case (grant-by-grant) basis by the VPAA.

**Group 2: An individual in one of the following positions<sup>2</sup> may be named as co-PI for sponsored activities if an individual in Group 1 is named as PI or co-PI on the project:**

- Renewable Term Appointment faculty member or Adjunct faculty member
- Emeritus faculty member
- Visiting faculty member (Visiting Assistant Professor, VAP) or Instructor
- Scholar or Artist in Residence
- Staff member (Part-time Director or below the rank of Director)

PI status may be possible for individuals in the second (provisional) category in some circumstances, but there must be at least one person from Group 1 identified as co-PI on sponsored projects to assist in supervisory or other administrative functions. Exceptions require the approval of the College's Vice President for Academic Affairs (VPAA), in consultation with the VPFO and the President prior to submission of the grant proposal.

Certain sponsoring agencies' restrictions on PI eligibility may be more stringent than the College policy. The VPAA will review proposed sponsored projects on a case by case basis to ensure that applicable restrictions are followed and any exceptions made are appropriate.

Individuals who serve as PI or co-PI on sponsored activities are required to comply with the College's business practices, grants policies and procedures, as outlined in separate documents.

Visiting faculty (with one- or two-year appointments) are generally not eligible for PI status, and they cannot submit grants as a matter of course, but in exceptional circumstances these and other temporary employees (adjunct faculty, staff, students, volunteers, etc.) may request permission to submit a particular grant on a case-by-case basis.

General considerations in selecting a PI and submitting a grant application include the PI's subject area expertise, any planned or competing proposals, the size of the award request, impact of the award (both positive and negative) on the applicant's other responsibilities, requirement for matching funds, project sustainability, adherence to research integrity and safety guidelines, impact on College facilities and other resources, relevance to College mission and strategic goals, supervision of grant-funded activities, and related factors.

#### **Policy Review and Revision:**

The PI eligibility policy and its associated procedures will be reviewed and revised if needed when any change in federal regulations or other institutional policy or experience applying this policy and procedures prompts such review. Changes to this policy must be approved by the VPAA in consultation with appropriate faculty, staff and the Grants Office.

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<sup>2</sup> Depending on 1) the duration of the sponsored activity in relation to the length of that individual's appointment, and 2) consideration of general guidelines for grant proposals (see above).