POLICY STATEMENT

Subject: Eligibility to Serve as a Principal Investigator on Externally Funded Grant or Contract Projects

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Date: November 21, 2017 Distribution: All faculty and administrators

Endorsed by Senate: November 6, 2018

Effective Date: January 15, 2019

Reference Number: Revision Date: 1/23/25

Addition Originating Office: President's Approval

Deletion Research and Innovation (formerly SGSR)

New Item

PURPOSE:

When seeking grant or contract funding from external (non-IUP) sponsors, a lead person known as the Principal Investigator (PI) must be named. The PI is responsible for overseeing all aspects of the project. This policy describes the qualifications required for a person to serve as a PI on externally funded grant or contract projects.

SCOPE:

This policy applies to all individuals seeking external (non-IUP) funding who wish to be named as the project PI. The PI is the lead person on an externally funded grant or contract project that produces specified deliverables within a designated time frame. This policy is not intended to apply to philanthropic activities. In instances where the external sponsor engages in both grant and philanthropic activities (e.g., a private foundation) collaboration among Research and Innovation, The Division of University Advancement, and the IUP Research Institute should occur to identify potential project overlaps or conflicts.

OBJECTIVE:

The objective of this policy is to provide guidance on who may act as a Principal Investigator on externally funded grant and contract projects.

POLICY:

The Principal Investigator (PI) is the lead person on a research project or contract that is to produce specified deliverables. The PI is responsible for the ethical and professional conduct of all aspects of the project, including being responsible for overseeing/managing all personnel to whom tasks are delegated, ensuring compliance with all applicable federal, state, and local laws and policies, and also for the fiscal management of the project.

The following positions/personnel are eligible for service as a PI on externally funded projects.

1. Full-time, tenure track faculty members; temporary faculty can serve with the approval of the Vice Provost for Research and Innovation and the provost.
2. Administrators holding the titles of president, vice president, associate vice president, assistant vice president, associate provost, dean, associate dean, assistant dean, and center/institute director may be named as PI on projects directly related to the mission and responsibilities of their units/offices. An Emeritus full or associate professor may serve as Co-PI with another eligible current employee of IUP. Emeritus full and associate professors may serve as PI, with permission of the Provost and Vice Provost for Research and Innovation.
3. Doctoral students seeking funding for fellowships, tuition, or support of research leading to the dissertation may be named as PI as appropriate or required by the funding agency, but a full-time tenure track faculty member must be named on the project as a Co-PI when permissible by the funding agency. The faculty Co-PI will be responsible for monitoring and ensuring that the terms of the grant/contract are fulfilled.
4. Requests for approval of others within Academic Affairs can be made by the unit head with the written approval of the college dean, the Vice Provost for Research and Innovation, the Provost, and the President.
5. Requests for approval of others in divisions other than Academic Affairs must be recommended by the unit head and approved by the corresponding Vice President. All requests must be accompanied by the qualifications of the person recommended to serve in the role of PI on the respective project.
6. Other approvals may be granted on a one time or permanent basis, at the discretion of the appropriate divisional Vice President. The Research and Innovation office will maintain a list of individuals who have been granted approvals (under this policy) to serve as a PI and the status of that exception (i.e., one time or permanent).

7. Approval to serve as PI can be revoked under appropriate circumstances (e.g., a finding of research misconduct). A decision to revoke would be made after review of the circumstances by the Vice Provost for Research and Innovation/Research Misconduct Officer, the Provost, and the President.

RECISION: None.

DISTRIBUTION:

All faculty and all administrators.