

University of Northern Iowa Principal Investigator Eligibility Guidelines

Adopted: September 1, 2015

Amended: March 1, 2016

Guidance Owner: Office of Research and Sponsored Programs

Preamble

Serving as a Principal Investigator (PI) for a sponsored program requires the PI to assume a great deal of financial responsibility and regulatory risk management duties on behalf of the institution. As such the University of Northern Iowa (UNI) is selective about who is eligible to serve as a sponsored program PI. In all cases exceptions can be made to the guidelines provided below with the proper approval of the sponsored project's Department Head, College Dean, the Office of the Provost, and the Office of Research and Sponsored Programs.

Tenured, Tenure-track, and Non-tenure track Faculty and Instructors

Tenured and tenure-eligible faculty are automatically eligible to serve as PIs on sponsored programs at the time of hire. Such individuals generally have terminal degrees in their field and, by virtue of their training and qualifications at the time of hire, generally have the relevant project management skills.

Professional and Scientific (P&S)

P&S employees are automatically eligible to serve as PIs on sponsored programs at time of hire provided the employee's immediate supervisor and Department Head approve the employee's PI status.

Adjunct Faculty

Adjunct faculty are automatically eligible to serve as PIs on sponsored programs. All programs must be performed within the investigator's term appointment period.

Faculty Who Resign from UNI

Faculty who resign from the university may not continue to serve as PI on existing awards (although in some circumstances the PI may transfer the award to another institution). Departed faculty may serve as co-PI for a sponsored program and, serving as co-PI, may also submit new proposals provided the university's Proposal Routing and Approval Form (PRAF) is fully filled out and appropriately signed. These faculty will be required to have an External Appointment Personnel Action Form (PAF) created prior to beginning any work on the sponsored program.

Visiting Faculty and Visiting Scientists

Visiting faculty and scientists may not serve as PIs on sponsored programs. However, these individuals may serve as co-PI for a sponsored program and, serving as co-PI, may also submit new proposals for funding provided the university's Proposal Routing and Approval Form (PRAF) is fully filled out and appropriately signed. These faculty will be required to have an External Appointment Personnel Action Form (PAF) created prior to beginning any work on the sponsored program, or, if paid, be hired as a UNI employee according to UNI Human Resource Services employee hiring protocol.

Emeritus Faculty

Emeritus faculty may serve as a PI or co-PI on sponsored programs. Prior to beginning the project the Emeritus Faculty PI is required to have an External Appointment Personnel Action Form (PAF) created and meet with RSP and the project's home Department Head to develop a plan for postaward project

management to ensure regulatory compliance and financial accountability. If the Emeritus Faculty is paid from the award that individual must become a UNI employee according to UNI Human Resource Services employee hiring protocol. Emeritus Faculty may also submit new proposals provided the university's Proposal Routing and Approval Form (PRAF) is fully filled out and appropriately signed.

Postdoctoral Associates

Postdoctoral associates may serve as PIs on sponsored programs provided the term of their position does not terminate before the award is closed out or provided that the award specifically allows for being transferred to another institution or the PI duties can be transferred to another eligible UNI employee.

Undergraduate and Graduate Students

Undergraduate and graduate students may only serve as co-PIs on sponsored programs.

All Position Classifications

All continuous and term UNI employees, plus graduate students and postdoctoral associates on appointment, are eligible to serve as Co-Principal Investigators (Co-PIs) on proposals and awards, subject to sponsor eligibility. Service as a Co-PI is an excellent way to learn and demonstrate relevant project management skills.

Questions regarding these guidelines can be directed to the Director of the Office of Research and Sponsored Programs, 3.3217