Purpose

This policy is issued to provide guidance on who may serve as a Principal or Co-Principal Investigator on extramurally funded grants and contracts for research, conference, workshop, educational outreach and public service programs.

1. Statement

A. ELIGIBILITY

Eligibility to serve as a Principal Investigator or Co-Principal Investigator is contingent upon continuation of the employment or other status under which eligibility was initially determined; and compliance with all applicable policies of SFI and the funding agency. In the event of an apparent conflict between policies of SFI and the funding agency, the more restrictive policy shall be followed.

Many extramural funding agencies recognize only one Principal Investigator. In those instances where several names are listed in the proposal, the agency assumes that the first name listed is primus inter pares (first between equals). Whenever the funding agency recognizes only one Principal Investigator, SFI will follow suit and direct all administrative correspondence to the first person listed, and that individual shall be identified as Principal Investigator.

B. ELIGIBLE SFI EMPLOYEES

Following are types of SFI employees who may be eligible to serve as a Principal Investigator or Co-Principal Investigator as specified:

i. A Member of the Resident Faculty may serve as a Principal Investigator or Co-Principal Investigator on any extramurally funded project.

ii. Postdoctoral Fellows may serve as a Principal Investigator or Co-Principal Investigator on an extramurally funded project. Once the Postdoctoral Fellow term ends the title Research Fellow will be assigned for up to two years until the extramurally funded project comes to a close or is transferred.

iii. Others may serve as a Principal Investigator or Co-Principal Investigator on an exception basis with the written approval of the appropriate official, as noted in 1.D.i. below.

iv. Incumbents holding the following positions may serve as Principal Investigator on extramurally funded projects conducted under the purview of their respective organizational units:

- President, SFI
- Vice President for Science, SFI
C. OTHER ELIGIBLE PERSONNEL

SFI External Faculty are eligible to serve as Principal Investigator or Co-Principal Investigator, provided the project includes significant involvement of the SFI community, and SFI is not acting simply a pass-through organization.

D. EXCEPTIONS

Exceptions to the Principal Investigator eligibility requirements for submitting a contract or grant proposal may be granted by the officials to whom such authority has been delegated.

1. Authority to Approve Exceptions
The following official may approve, by exception, the submission of a contract or grant proposal by appointees in positions other than those noted above in section 1.B and C:
   • President
   • In the President's absence the Vice President for Science will approve exceptions.

11. Requests for Exception
Exceptions to the general eligibility requirements will be considered upon submission of a written request to the appropriate official noted in 1.D.i. above. The written request must justify the exception in terms of the following criteria:
   • That such action is clearly in the best interests of the Institute;
   • That space and facilities can be arranged without detriment to the regular research activities of the Institute; and
   • That the applicant is an SFI employee or an SFI contractor appointed at more than 50 percent time who is able to carry out the responsibilities incumbent upon Principal Investigators.

The request must be signed by the appropriate department head and should contain information sufficient for the assessment of the justification outlined above. Upon approval, a copy of the exception explanation signed by the appropriate official with authority to approve the exception, as identified above, shall be forwarded to the Sponsored Research Office.

2. Definitions

Principal Investigator: An employee of SFI who is part of the resident faculty, a postdoctoral fellow, or a member of the external faculty who is or who becomes eligible under this policy to submit a proposal for extramural support for a research, education or public service project, who personally participates in the project to a significant degree, and
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who has primary responsibility for the scientific, technical, and administrative conduct and reporting of the project.

Co-Principal Investigator: One of two or more Principal Investigators who share responsibility for the scientific, technical, and administrative conduct and reporting of a project. Each person shall be considered to be a Co-Principal Investigator.

Postdoctoral Fellow: An employee of SFI who has completed their Ph.D. and serves as a postdoctoral-level researcher whether funded by an extramurally-funded project or by an internal or external fellowship.

3. **References**

- Procedure for Approval and Submission of Contract and Grant Proposals
  (GM01.1) Management of Sponsored Projects Policy (GM03)
- Employee Handbook (HR01)
- Procedures for Grant-Based Extension of SFI Postdoctoral Fellow Appointments