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**Principal Investigator Eligibility Policy**

**Purpose:**

The Principal Investigator (PI) or Project Director (PD) is the individual primarily responsible for technical direction and management of an externally sponsored project awarded to Hobart and William Smith Colleges. When the Colleges submit proposals to external sponsors and accept awards for sponsored projects, they assume significant financial and legal obligations. Sponsors fund projects based in part on the professional expertise of the PI/PD; however, when the formal award is made to the Colleges, these financial and legal obligations are also assumed by the Colleges, some of which are the responsibilities of the PI/PD. These include the intellectual direction and conduct of the project, technical compliance, completion of the scope of work, fiscal stewardship of sponsor funds, and compliance with administrative requirements of the project. For these reasons, PIs and PDs may not be temporary employees, and must hold certain types of appointments

For more details on division of responsibilities with regard to sponsored projects, see [**Roles & Responsibilities for Sponsored Projects and Grants**](https://www.hws.edu/offices/pdf/GrantsRR.pdf).

**Policy:**

Any employee holding one of the following positions may be identified as a PI/PD for sponsored activities without further approval:

* Tenured or tenure-track faculty member;
* Librarian or Archivist; and
* Directors of institutes, centers or other large, long-term programs.

HWS employees who do not fall into one of the above categories must request PI status. Approval from the Provost and Dean of Faculty must be obtained prior to the submission of a grant proposal.

**Process for Requesting PI Status:**

A brief letter requesting PI status must be made by a director or department/unit head on behalf of an individual applicant. The individual submitting the request must affirm that they understand the department/unit is responsible for the individual following all pertinent compliance and grant administration rules and regulations, and that the department/unit assumes responsibility for any financial liabilities (such as pre-award spending guarantees or over-expenditure payments) that might result. The request must be submitted to the Provost and Dean of Faculty no less than ten business days prior to the deadline for submission to an external agency. A written response indicating approval must be received from the Provost and Dean of Faculty prior to submission.

In some cases, a sponsoring agency may have restrictions on who may serve as a PI/PD on a particular project or program that are more or less stringent than the Colleges’ policy. In coordination with the Office of Sponsored Programs, the Provost and Dean of Faculty will review these situations on a case-by-case basis and allow exceptions, if appropriate.

**Status:**

**Effective Date: 5/13/2022**

**Last Revision Date: 9/9/2021**

**Last Review Date: 4/13/2022**

**Institutional Official:**  Sarah Kirk, Provost and Dean of Faculty

**Responsible Administrator:** Roberta Truscello, Director of Sponsored Programs

**Responsible Office(s):** OSP/OAFA

**Primary Policy Contact:** Roberta Truscello [truscello@hws.edu](mailto:truscello@hws.edu)