

**Subject:** Academic Titles Eligible to Serve as Principal Investigators on Grants

**Effective Date:** August 1, 2020

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*Background:*

It is generally assumed that Principal Investigators on grants or contracts submitted through the UW Office of Sponsored Programs are faculty with the following titles: Professor (all ranks), Research Professor (all ranks), Lecturer (all ranks), Teaching Professor, Clinical Professor (all ranks) and Clinical Professor, Dental Pathway (all ranks). However, there is no explicit University prohibition against other UW scientists serving as PIs on grants, except by Faculty Code (UW University Handbook Chapter 24, section 24-35) which states that Research Associates may not be Principal Investigators on research grants or contracts. Rather, it is left to individual Schools/Colleges to establish their own policies.

*Purpose:*

The purpose of this policy is to restrict eligibility to serve as a Program Director or Principal Investigator (PD/PI) to those capable of fulfilling the responsibilities of the role.<sup>1</sup>

*Policy:*

Researchers with primary appointments in the SOD holding non-faculty titles of Research Scientist or Postdoctoral Fellow, or those holding faculty titles of Adjunct Faculty (any rank), Clinical non-salaried Faculty (any rank), Affiliate Faculty (any rank) or Acting Faculty (any rank) in the SOD may serve as Principal Investigators on grants **only if** the following criteria are met:

1. A faculty member with a full-time regular or research faculty appointment (excluding Research Associate) with primary appointment in the department through which the grant is to be submitted must agree to serve as a 'sponsor' of the candidate and the research project (typically, the sponsor will be listed on the grant as a co-investigator or co-PI, but, at the discretion of the Chair and Dean, this may not be required);
2. Unless otherwise stated, the sponsoring faculty member assumes responsibility to provide necessary space, equipment and other resources not provided by the grant (unless other specific arrangements are made and agreed to by the Chair in advance of submission of the grant);
3. The Chair of the Department confirms that the previous conditions have been met;
4. The application "Approval Form for SOD-affiliated Researchers (Other than Regular or Research Faculty) to Serve as Principal Investigator on a Grant or Contract" has been approved and signed by the faculty sponsor and the sponsoring Department Chair, and this form uploaded with the eGC1.

Other staff, students and part-time employees may only serve as Principal Investigators on grants if the funding program specifically pertains to this type of appointment (e.g., student research fellowships). In such cases, the criteria above shall be applied.

It should be recognized that, in most circumstances, the Department will have an obligation to provide space for the funded research throughout the active funding period, even if the sponsoring faculty member leaves the University and the Principal Investigator remains. Should the sponsoring faculty member leave the University prior to completion of the project, the Chair will appoint another faculty member to serve as the interim faculty sponsor for the remainder of the funded period.

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<sup>1</sup> The National Institutes of Health definition of the role of the Program Director/Principal Investigator (PD/PI):

The PD/PI is defined as the individual(s) judged by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program supported by the grant or contract. The applicant organization may designate multiple individuals as PD/PIs who share the authority and responsibility for leading and directing the project, intellectually and logistically. Each PD/PI is responsible and accountable to the applicant organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one identified PD/PI on an application or award diminishes neither the responsibility nor the accountability of each PD/PI.

**Approval Form  
SOD-affiliated Researchers (Other than Regular or Research Faculty) to Serve  
as Principal Investigator on a Grant or Contract**

Date: \_\_\_\_\_

Name and title of PI: \_\_\_\_\_

Title of grant application: \_\_\_\_\_

Funding Agency: \_\_\_\_\_

Sponsoring Department: \_\_\_\_\_

Sponsoring Faculty Member \_\_\_\_\_  
(must have regular or research faculty primary appointment in sponsoring SOD department):

**By signing below, PI agrees to comply with all UW and School of Dentistry grants policies rules including, but not limited to Grants Information Memoranda, Financial Conflicts of Interest and to complete necessary training, including the Grants Management for Investigators training.**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Principal Investigator

**By signing below the Sponsoring Faculty member and Department Chair agree to provide administrative oversight of proposals and resulting awards from PI granted exemption.**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Sponsoring Faculty member

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Sponsoring Department Chair

(Submit as an attachment to the eGC1 with proposal)