

MEMORANDUM

To: Department Chairs, Grant Administrators, Human Resources Managers, and
SPH Faculty

From: Hilary Godwin, PhD 
Dean, School of Public Health

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Associate Dean for Research, School of Public Health

Date: February 2, 2022

Subject: **PI ELIGIBILITY POLICY**

In consultation with the School of Public Health (SPH) Elected Faculty Council and Department Chairs, we have updated the policy and process related to eligibility to serve as Principal Investigator (PI) of research proposals. PIs are typically members of the professorial faculty. However, there is no explicit University prohibition against other UW scientists serving as PIs of sponsored projects; rather it is left to individual Schools/Colleges to establish their own policies. Below is the SPH Policy on PI Eligibility.

[Per faculty code](#) (Section 24), faculty are eligible to serve as PI if they hold one of the following professorial titles in the tenure/tenure track, research, teaching, or WOT tracks:

- Professor
- Associate Professor
- Assistant Professor

Emeritus faculty may submit grants as PI through their department only with approval of the department chair. No additional approvals are required, and the PI-eligibility form (Appendix A) is not required. Retired faculty without an emeritus appointment are not eligible to serve as PI.

In addition, researchers with primary appointments in the SPH, who hold the following titles may be eligible to submit grant proposals as the Principal Investigator, but a faculty sponsor and approval by the Department Chair are required and must be documented on the PI eligibility form (Appendix A).

- Clinical Faculty of any rank
- Acting Faculty of any rank
- Affiliate Faculty of any rank if the project is a collaboration with a regular SPH faculty member
- Research Scientist
- Postdoctoral Scholar
- Student titles if the funding opportunity is a student research fellowship (e.g., F31 applications)

Sponsored investigator responsibilities:



- With the exception of students, post-docs, and trainees, the sponsored investigator is responsible for the scientific and ethical conduct of the research project. Faculty mentors provide oversight of the scientific and ethical conduct of the research for students, post-docs, and trainees.
- Understand and carry out the full scope of the responsibilities of a PI. All UW (faculty and staff) PI's are required to attend investigator training (<https://www.washington.edu/research/required-training/faculty-grants-management>) initially and every four years. In addition to local support, reviewing online UW resources, such as the UW Office of Research's MyResearch Lifecycle (<https://www.washington.edu/research>) is recommended.

Faculty sponsor eligibility:

- Hold a full-time professorial faculty appointment (e.g., Tenure/Tenure Track, Without Tenure (WOT), Research, Teaching)
- Have a primary or joint appointment in the department through which the proposal is to be submitted
- Agree to serve as a 'sponsor' of the candidate and the research project.

Faculty sponsor responsibilities:

- Provides space, equipment and other resources that are necessary to conduct the project but not provided by the grant (in coordination with the Department Chair).
- May be listed as a co-investigator or co-PI on the research proposal itself or, at the discretion of the Department Chair, or their designee, be named only on internal UW documentation.

Departure of sponsoring faculty member:

In most circumstances, if the sponsoring faculty member leaves the University and the PI remains, the department will have an obligation to provide space for the funded research throughout the active funding period. Should the sponsoring faculty member leave UW prior to completion of the project, the Chair will appoint another faculty member to serve as interim faculty sponsor for the remainder of the funded period. However, there is no obligation on the part of the department or the appointed interim faculty sponsor to support a competing renewal.

Documentation of PI eligibility:

Investigators with non-professorial titles should document the agreement of the faculty sponsor, and appropriate Chair and Dean's Office approvals for the arrangement on the PI eligibility form (Appendix A). The documentation process in Appendix A may be updated periodically by the Office of the Dean.



APPENDIX A

PROCEDURES FOR APPROVING PI ELIGIBILITY FOR NON-PROFESSORIAL TITLES

Updated February 2, 2022

PROCEDURES FOR EXTERNAL PROPOSALS

The **sponsored investigator** should be named as Principal Investigator on the external proposal. The internal sponsoring faculty member may also be listed on the research proposal as a co-investigator or co-PI, where the funding opportunity allows for this, but it is not mandatory.

Roles on the UW's Internal e-Grant & Contract (eGC1) Form and Post-Award Management:

When the Sponsored Investigator is a Student, Post-doc, Fellow or Trainee

- The **sponsored investigator shall be named as the Applicant PI** on the eGC1. They will need to be granted ASTRA permissions to use SAGE as an Applicant PI.
- The **sponsoring faculty member should be named as the Principal Investigator** on the eGC1. This will mean that any financial award is set up at UW under the sponsoring faculty member's name, rather than under the Applicant PI.

Note: As the proposal routes, both the Applicant PI and the UW Principal Investigator roles are automatically required to approve a PI Assurance Statement, agreeing to accept responsibility for the scientific conduct of the project, and to complete Financial Conflict of Interest training and Disclosures.

- The **Principal Investigator (PI) Eligibility Sponsorship form**, signed by the sponsored investigator, sponsoring faculty member and Chair must be attached to the eGC1. Dean's Office approval of the eGC1 denotes Dean's Office approval of PI eligibility with sponsorship.

When the Sponsored Investigator is a Faculty Member or Research Scientist,

- The **sponsored investigator may be named as the Principal Investigator** on the eGC1.

Note: Under this scenario, as the proposal routes, only the sponsored investigator will approve the PI Assurance Statement, accepting responsibility for the appropriate conduct of the project. Any financial award will be set up only under the name of the sponsored investigator.
- The **sponsoring faculty member should be added to the Personnel** section of the eGC1, to trigger any relevant Financial Conflict of Interest Disclosures. To do this, select their role as "Other" and check "Investigator - Yes".
- The **Principal Investigator (PI) Eligibility Sponsorship form**, signed by the sponsored investigator, sponsoring faculty member and Chair must be attached to the eGC1. Dean's Office approval of the eGC1 denotes Dean's Office approval of PI eligibility with sponsorship.

PROCEDURES FOR INTERNAL UW FUNDING OPPORTUNITIES

Internal UW funding opportunities often require that applications be limited to employees that meet their School's PI-eligibility requirements. When either the funding unit or SPH requires school approval of PI eligibility before submitting a proposal:

- The **sponsored investigator** should be named as Principal Investigator on the internal proposal. The internal sponsoring faculty member may also be listed on the research proposal as a co-investigator or co-PI, where the funding opportunity allows for this, but it is not mandatory.
- **A completed *Principal Investigator (PI) Eligibility Sponsorship* form, signed by the proposed PI, sponsoring faculty member and Chair, should be provided to the Associate Dean for Research,** requesting Dean's Office signature, in advance of submitting the proposal. The form with all necessary signatures may also be attached to the proposal as documentation of approval, as needed.

APPROVAL FORM: PRINCIPAL INVESTIGATOR (PI) ELIGIBILITY FOR NON-PROFESSORIAL TITLES

Per the SPH *Principal Investigator (PI) Eligibility Policy*, investigators with faculty titles that do not meet the School's standard criteria for PI eligibility may serve as a PI if they have the sponsorship of a full-time SPH faculty member and the approval of the Department Chair. Completion of this form documents the sponsor's agreement to serve in this role and departmental approval.

Date: _____

Name of Proposed PI: _____

Title of Proposed PI: _____

Proposal Name: _____

Funding Agency: _____ eGC1 No. (if available): _____

Sponsoring Faculty Member: _____

Sponsoring Department: _____

PRINCIPAL INVESTIGATOR

I have read the *SPH Principal Investigator (PI) Eligibility Policy* and agree to the terms stated. I understand the scope of my responsibilities as Principal Investigator of this project and will undertake any required research, human subjects or investigator training.

Principal Investigator

Date: _____

FACULTY SPONSOR

I have read the *SPH Principal Investigator (PI) Eligibility Policy* and agree to the terms stated. I understand that the responsibilities of a faculty sponsor include providing space, equipment and other resources that are necessary to conduct the project but not provided by the grant.

Faculty Sponsor

Date: _____

CONCURRENCE:

Chair of Sponsoring Department

Date: _____

SPH Dean – for external proposals SAGE approval denotes Dean's Office concurrence. A signature is only needed for internal proposals that are not submitted through an eGC1.