



Academic Titles Eligible to Serve as Principal Investigators on Grants (updated 5/13/10)

It is generally assumed that Principal Investigators on grants or contracts submitted through the UW Office of Sponsored Programs (formerly Grant and Contract Services) are faculty members (Lecturer (all ranks), Assistant Professor, Associate Professor, Full Professor; Research Assistant Professor, Research Associate Professor, Research Professor). 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) 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.

The SPH policy is as follows:

Researchers who are primary or joint faculty members of a department (titles in first sentence above), may submit grants through that department. Emeritus faculty may only submit grants through their department with approval of the department chair. The form that follows is not required for emeritus faculty.

Researchers with primary appointments in the SPH holding non-faculty titles of Research Scientist or Senior Fellow (incl. post-doctoral fellows), or those holding faculty titles of Adjunct Faculty (any rank), Clinical Faculty (any rank), Affiliate Faculty (any rank) or Acting Faculty (any rank) in the SPH 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 SPH-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. However, there is no obligation on the part of the Department or the appointed interim faculty sponsor to support a competing renewal.



SCHOOL OF PUBLIC HEALTH
UNIVERSITY *of* WASHINGTON

Approval Form
SPH-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 SPH department):

I have read the SPH policy on “Academic Titles Eligible to Serve as Principal Investigator on Grants” and agree to the terms stated therein.

Signed: _____ Date: _____
Principal Investigator

Concurrence:

Signed: _____ Date: _____
Sponsoring Faculty member

Signed: _____ Date: _____
Sponsoring Department Chair

(Submit as an attachment to the eGC1 with proposal, needed for Dean’s Office approval of eGC1)