



MEMORANDUM

To: UWT Faculty

From: Joel Baker, Special Assistant to the Chancellor for Research

Subject: Eligibility to serve as Principal Investigator or Principal Director on Extramural Proposals

Date: 5 February 2013

Recently several UWT faculty and staff have made inquiries as to who can serve in Principal Investigator and Project Director roles on extramural proposals. The purpose of this memo is to state the protocols that we follow at UWT. All UWT faculty with the rank of Assistant Professor, Research Assistant Professor, Associate Professor, Research Associate Professor, Professor, or Research Professor are eligible to serve as Principal Investigators, co-Principal Investigators and Principal Directors on extramurally supported projects. In accordance with published UW Academic Human Resources policy, Research Associates may not be principal investigators on grants or contracts¹.

A Principal Investigator (PI) is an individual who has primary responsibility for the design, execution, and management of a research project and who will be involved in the project in a significant manner. A Project Director (PD) is an individual who has primary responsibility for the design, execution, and management of a training or public service project and who will be involved in the project in a significant manner.

The ‘primary responsibility’ held by PIs and PDs may not be delegated explicitly or implicitly to individuals who are not eligible in their own right to serve as Principal Investigator or Project Director. The current UWT eligibility requirements for Co-PIs and co-PDs are the same as those for PIs and PDs.

UWT faculty seeking exemption from this policy may petition the Chancellor to be considered for eligibility to serve in a PI or PD capacity for a specific project. To justify an additional locus of independent project development and the explicit or implicit allocation of University resources, approval of an exception requires demonstration that (1) the proposed project or program significantly contributes to the educational, research or public service goals of the petitioner’s unit and of the University, and (2) that the nominated individual adds unique knowledge, experience and competence not possessed by eligible members of their unit. Eligibility exceptions normally are limited to a specific project. In extremely rare and especially meritorious cases exceptions may be granted to an individual on a continuing basis. Continuing status, once approved, remains in effect until revoked by

¹ “Faculty holding this title [Research Associate] may not be principal investigators on grants or contracts.” (http://www.washington.edu/admin/acadpers/job_descriptions/Research_Associate.html).

the Chancellor or their designated representative, who may act at the request of the administering unit.

Requests for exceptions, addressed to the Chancellor, must include:

- A written request containing a full justification addressing the above criteria
- A copy of the recommended individual's current curriculum vitae
- A one page abstract describing the research project
- A budget and budget justification