

SEFS Policy on Approvals of Principal Investigator Status

Purpose

To clarify the criteria for Principal Investigator (PI) eligibility and provide a procedure for seeking eligibility on a case-by-case basis for those not automatically granted PI status. This policy builds off the College's guidelines.

Definitions

A PI is the individual responsible for the conduct of research or other activity described in a proposal for an award.

A UW employee holding any one of the following titles is automatically eligible to serve as a PI:

- Professor
- Professor WOT
- Research Professor
- Associate Professor
- Associate Professor WOT
- Research Associate Professor
- Assistant Professor
- Assistant Professor WOT
- Research Assistant Professor
- Professor of Practice
- Emeritus

The following titles may also be eligible but must be considered on a case-by-case basis by the SEFS Director:

- All Lecturer and Teaching Professor titles Competitive Recruitment (either Full-Time or Part-Time)
- Senior Lecturer
- Research Scientist/Engineer of Grade 9 or higher
- Washington State Sea Grant Professional Staff (grades 9 and 10)*
- Clinical (Assistant, Associate or Full) Professor/(Assistant, Associate or Full) Professor of Practice
- Acting Titles
- Artist in Residence
- UW-Pacific Northwest National Laboratory Dual Appointee**

PI status will be granted for a period of five years. At the end of each five-year period, the SEFS Director will consider whether PI status shall be renewed by evaluating the following the following criteria:

- Compliance with all UW training certifications, College and SEFS policies.
- Documented engagement in SEFS research programs, teaching and/or working with graduate students.
- Active research program aligned with SEFS mission.
- Earned PhD, or previously held SEFS PI status.

Procedure

The candidate requesting PI status will submit the following documents to the SEFS Director's Office:

- A memo addressed to the SEFS Director requesting concurrence on granting PI status and alignment with the above criteria.
- The individual's CV.

The request for PI status will then be evaluated by the SEFS Director and the SEFS Associate Director of Research. If approved, the SEFS Director and the SEFS Associate Director will sign the concurrence memo and copies will be filed as follows:

Signed original returned to the individual

Electronic copy to the academic personnel file, when applicable

Electronic copy to the PI status file on the SEFS shared drive

*As described in the Washington State Sea Grant PI Eligibility Policy dated 1 June 2010

**UW-PNNL Dual Appointees are automatically eligible for PI status without limitation as described in the 2011 UW-PNNL MOU Concerning Dual Appointees, so the dual appointment itself must be considered on a case-by-case basis by the Department Chair/School Director and the Dean.