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.

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

Policy:
A UW employee holding any one of the following titles is 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
- Director level of a major program
- Washington State Sea Grant Professional Staff (grades 11 and above) *
- Emeritus

The following titles may also be eligible, but must be considered on a case-by-case basis by the Department Chair/School Director/Program Director and the Dean. PI status will be granted for a period of five years. At the end of each five year period, the Department Chair/School Director/Program Director and the Dean will consider whether PI status shall be renewed.
• Lecturer
• 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**
• Postdoctoral scholar (when the source of funding is from internal University of
  Washington funds)

A unit may define PI eligibility more stringently than College of the Environment policy.

**Procedure:**

The unit requesting PI status for an individual will submit the following documents to the
Dean’s Office:

• A memo addressed to the Dean requesting concurrence on granting PI status
  o Use memo template #1 for granting PI status to a newly hired faculty member
    who has not yet arrived on campus. The newly hired faculty member will also
    have to be granted an Affiliate appointment in order to be eligible for early PI
    status. Please follow the standard procedure for granting an Affiliate
    appointment and include the results of the faculty vote on the Affiliate
    appointment in your memo.
  o Use memo template #2 for granting or renewing PI status to UW employees
    not holding a position automatically eligible for PI status.
• The candidate’s CV

The request for PI status will then be evaluated by the Dean or the Associate Dean of
Research. If approved, the Dean will sign the concurrence memo and copies will be filed as
follows:
• Signed original returned to the unit
• Hard copy to the academic personnel file
• Electronic copy to the PI status file on the College of the Environment shared drive

Dean’s Office contacts: Ivan Eastin; Stephanie Harrington

* 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.