CBE Principal Investigator (PI) Status Policy & Procedure

College of Built Environments Dean's Office

Purpose

The purpose of this Principle Investigator (PI) Status Policy and Procedure is 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 conducting the research and other activities described in a proposal for a grant award, including the responsibilities for fiscal management outlined in [GIM 02.](#)

Policy

In the College of Built Environments, PIs are eligible to conduct research through the [Office of Sponsored Programs](#) (OSP), create service agreements with the CBE Finance and Administration Office, and work with CBE Advancement on gifts accounts that support research.

At the College of Built Environments, a UW employee holding any one of the following titles is automatically eligible to serve as a PI:

- Professor
- Professor Without Tenure (WOT)
- Research Professor
- Teaching Professor
- Associate Professor
- Associate Professor WOT
- Research Associate Professor
- Associate Teaching Professor
- Assistant Professor
- Assistant Professor WOT
- Acting Assistant Professor pending PhD
- Research Assistant Professor
- Assistant Teaching Professor
- Professor of Practice
- Assistant or Associate Dean
- Emeritus
- Director - Program Operations, Organized Research Unit
- Associate Director - Program Operations, Organized Research Unit

The following titles may also be eligible for temporary status as a PI, but must be considered on a case-by-case basis by the Department Chair and the Associate Dean for Research. For the below titles, PI status will be granted and authorized as long as the individual continues to be employed by the college under the title for which the individual was approved, and as long as the individual complies with all applicable sponsor requirements and university policies and procedures. If the individual's title changes the Department Chair and the Associate Dean for Research will consider whether PI status shall be renewed.

- Lecturer Competitive Recruitment (Part-Time)
- Director-Program Operations
- Research Scientist/Engineer of Grade 8 or higher
- Affiliate Professor
- Affiliate Professor WOT
- Affiliate Research Professor
- Affiliate Teaching Professor
- Affiliate Associate Professor
- Affiliate Associate Professor WOT
- Affiliate Research Associate Professor
- Affiliate Associate Teaching Professor
- Affiliate Assistant Professor
- Affiliate Assistant Professor WOT
- Affiliate Research Assistant Professor
- Affiliate Assistant Teaching Professor
- Affiliate Professor of Practice

Postdoctoral Scholars may also be eligible to serve as a PI for individual proposals under the circumstances outlined in the College's Postdoctoral Scholar PI Eligibility and Approval Process policy.

Procedure

The Dean has delegated authority to the Associate Dean for Research to authorize PI status for individuals whose titles are included in the case-by-case determination list.

Request for authorization of PI status for an individual must come from the Department Chair.

The department should submit the following documents to the Dean's Office, attn: the Associate Dean for Research, cc the CBE Office of Research administrative specialist:

- A memo (in PDF format) addressed to the Dean requesting concurrence on granting PI status
  Use Memo Template for temporary status for granting PI status to UW employees not holding a position automatically eligible for PI status. This memo should also be used for seeking Dean's concurrence on renewal of PI status for these individuals.

Use [Memo Template for not-yet-on-campus](#) for granting PI status to a newly hired faculty member who has not yet arrived on campus. Note, as listed in the memo template, 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.

Use the [approval form](#) for Postdoctoral Scholars for requesting approval for a Postdoctoral Scholar to serve as a PI on a single proposal.

- The individual's current CV

The request for PI status will then be evaluated by the Associate Dean of Research or the Dean. If approved, the Associate Dean of Research or the Dean will respond in writing within 5 business days to the request by signing the concurrence memo. Copies of the concurrence memo will be filed as follows:

- Electronically signed copy returned to the department
- Electronic copy to the academic personnel file
- Electronic copy to the PI status file on the College Built Environments shared drive

Effective Date: August 8, 2023

Last Review Date: August 8, 2023

Dean's Office Contact:

Associate Dean for Research, Carrie Sturts Dossick cdossick@uw.edu

Discussion and Rationale

This section includes a summary of the points of concern raised during the review process from the Chairs+ committee August-September 2023.

"Titles automatically eligible to serve as PI; Assistant or Associate Dean, Emeritus, Director-Program Operations, Organized Research Unit" - comments

- A few comments here: (1) These titles are not "faculty" titles and some of them overlap with the ones above (i.e. to be emeritus, someone needs to be a faculty or librarian, right? https://ap.washington.edu/ahr/academic-titles-ranks/emeritus-retiree-appointments/). (2) This is a research policy. Historically, research qualifications have not been used to select Assistant Deans. I don't think having Assistant Deans here is appropriate. (3) Can someone make an

example of whom is a director-program operations, organized research unit within CBE? Are these center directors? (4) Emeritus faculty are not on payroll. Does it mean they can come and go from payroll depending on their ability and/or desire to secure funding?

Response: 1-2) To be PI eligible, they do not need to be Faculty per say. Some assistant deans are not faculty, but they do hold PI status. We want to include all job titles that are automatically PI status. When someone retires, they have a new job title that includes emeritus. We want to include this job time explicitly so there is not confusion when someone has a new title. 3) As we get larger Centers and Labs, we may have directors who need PI status. For example, WCRER, CLF. CLF has a director of operations who would then be qualified as PI. 4) yes, emeritus are at time on the payroll, they want work up to 40% FTE. There are currently people still running grants as emeritus.

"Must be considered on a case-by-base basis" - comments

- On what basis will decisions be made? That is, how will the chair and ADR know who is PI worthy? It seems that this is actually an administrative decision (see next sentence) and need not be "considered" since they'll be granted status if they check all the boxes mentioned.

  *Response: text added to address this: "*Sixty days prior to proposal submission deadline, the employee's supervisor puts the employee forward for PI Status when their job requires them to manage funded research. Once an application is received by the Associate Dean of Research, a determination will be made in 5 business days."

"Lecturer Part-Time Temporary, Lecturer Full-Time Temporary" - comments

- Temporary titles can be renewed on an annual basis for up to three years. What if someone in this title writes a proposal that is awarded and extends beyond the three years? I think including temporary titles as viable to serve as PIs may create an HR hiccup. Does the college become forced to move them from a temporary to continuing position without conducting a search?

  Response: policy language to be edited to address this, to include an eligibility terms section that specifically states PT status titles eligibility is subject to change based on appointment term. PI eligibility will be forfeited at the end of the appointment regardless of research efforts or add a submission timeline deadline that states prior to appointment ending.

"Memo template for temporary status form" - comments

- While I appreciate the brevity of this form, I question the need for it (I may not understand the full context). See my comment above about "considering," which is a quasi-judicial function requiring some analysis of qualities/qualifications and assessment if they are achieved in line with a policy goal, versus an administrative decision that requires only the successful achievement of items off a checklist.

  Response: We need to have a record on file for those who have been granted PI status. This application, while simple, is that record. It is also helpful to let everyone in CBE Office of Research and the FAO team that this person is now eligible to submit proposals.