

Principal Investigator Eligibility in the College of Education

(Policy updated February 18, 2021)

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.

Definition

The Principal Investigator (PI) on a grant or contract is the individual responsible for the conduct of research or other activity described in a proposal for an award. The PI is ultimately responsible for the design, administration, and conduct of a sponsored project. This includes compliance with sponsor, institutional, state and federal regulations and guidance. The PI remains responsible for aspects of the research that are delegated to other members of the research team.

UW Policy: Required PI Training

To help those conducting research at the UW comply with external sponsor and internal requirements and/or reduce risk to the researcher, [required trainings](#) are offered. Currently all first-time PIs are required to attend (or view, during COVID restrictions) an in-person [Grants Management Training](#) within 12 months of submitting a proposal. Trainings are tailored to different types of research. Find which trainings are required for you, as well as your training summary and a link to your full [training transcript](#) at [MyResearch](#).

A UW employee holding any one of the following titles is eligible to serve as a PI on a grant or contract in the College of Education:

- Professor
- Professor WOT
- Teaching Professor
- Research Professor
- Associate Professor
- Associate Professor WOT
- Associate Teaching Professor
- Research Associate Professor
- Assistant Professor
- Assistant Professor WOT
- Assistant Teaching Professor
- Research Assistant Professor
- Research Scientists
- Assistant or Associate Dean
- Emeritus Faculty

A UW employee holding one of the following titles may also be eligible, but these are subject to review and approval by the Dean (upon recommendation of the Associate Dean for Research) on a case-by-case basis for renewable five-year periods:

- Full or part-time Lecturer
- Visiting, acting professor ranks

- Teaching Associate
- Professor of Practice
- Professional staff not in the Research Scientist job classification
- Postdoctoral scholars*

The University of Washington does not allow students to hold PI status.

***Postdoctoral Scholars**

Postdoctoral Scholars in the College of Education may be eligible to serve as a Principal Investigator (PI) or Project Director (PD) for individual proposals by following the processes described below.

Postdoctoral Scholars, as defined in the [collective bargaining agreement](#), are individuals who:

- have received a doctoral degree (Ph.D. or equivalent);
- are appointed for a temporary and defined period not to exceed five (5) years, including postdoctoral experiences at other institutions (with exceptions for extraordinary circumstances related to family leave or illness, as determined by Academic Personnel);
- are engaged in full-time mentored advanced training to enhance professional skills and research independence;
- perform primarily research and scholarship under the direction and supervision of University faculty mentors.

Responsibilities of Postdoctoral Scholar Mentors

- The Postdoctoral Scholar's Mentor should provide guidance and training to the Postdoctoral Scholar with respect to proposal preparation, the College's proposal submission process and deadlines, and post-award administration.
- Any space for the Postdoctoral Scholar's proposed project will be allocated from the Mentor's space and should follow the College's space allocation policy.

Approval Process for PI Status

The individual requesting PI status will submit the following documents to the Associate Dean for Research, with a CC to the Assistant Dean for Finance and Administration:

- A brief rationale for granting PI status in this particular case (or indicate that it is a renewal of PI status).
- A brief description of implications for other responsibilities of your current position.
- A current CV
- Documentation of UW Grants Management Training (e.g., screen shot of MY RESEARCH transcript)

The Associate Dean of Research will review and, upon approval, forward to the Dean the following:

- A memo addressed to the Dean requesting concurrence on granting PI status
 - Using the form [PI Status request COE new faculty](#) 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 be eligible

for early PI status. Please follow the standard procedure for granting an Affiliate appointment.

- Using the form [PI Status request COE others](#) for granting PI status to UW employees not holding a position automatically eligible for PI status. This form should also be used for seeking Dean's concurrence on renewal of PI status for these individuals.
- The individual's CV

The request for PI status will then be evaluated by the Dean. If approved, the Dean will sign the concurrence memo and copies will be returned to the individual and retained in the academic personnel file, when applicable.