

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE**  
**PRINCIPAL INVESTIGATOR (PI) ELIGIBILITY**

<b><u>Number</u></b>	07.02.02
<b><u>Division</u></b>	Office of Sponsored Programs
<b><u>Date</u></b>	October 21, 2013
<b><u>Purpose</u></b>	To set forth the eligibility requirements of a Principal Investigator (PI) at UAH.
<b><u>Policy</u></b>	This Policy set forth the eligibility requirements and describes the processes for requesting and approving exceptions to the PI eligibility requirements.

**Definitions:**

For the purposes of this Policy, the following definitions shall apply:

**Types of Investigators:**

Principal Investigator is an employee of UAH who is or becomes eligible under this policy to submit a proposal for extramural support for a research, training, or public service project, who personally participates in the project to a significant degree, and who has primary responsibility for the scientific, technical, and administrative conduct and reporting of the project, including financial matters.

A Principal Investigator who is the head of a training or public service project may be known as a Project Director or Project Administrator. For the purposes of this policy, the terms shall be considered equivalent.

Any individual who holds one of the following positions can be identified as a PI and submit proposals to external sponsors:

- tenure-track faculty (full, associate, and assistant professors)
- nontenure-track research faculty (full, associate, and assistant professors)
- nontenure-track clinical faculty (full, associate, and assistant professors)
- instructor/lecture (full-time)
- adjunct faculty (on-call research status)
- emeritus faculty (on call status)
- research scientist and/or engineer
- librarians
- curators

On a case-by-case basis, an individual who holds one of the following positions can be identified as a PI upon approval from the vice president for research:

- visiting faculty
- visiting scholars

In general, Graduate Students may not serve as PIs.

Ordinarily, Postdoctoral Scholars are not permitted to serve as principal investigators on extramurally sponsored contracts or grant applications. Because the University recognizes that proposal preparation is an important aspect of most postdoctoral training, the OVPR may permit Postdoctoral Scholars to serve as principal investigators on such applications that are restricted to Postdoctoral Scholars, or in other circumstances as approved.

Co- Investigator is an investigator who will share responsibility for the scientific, technical, and administrative conduct and reporting of a project with the Principal Investigator. Each individual named as a Co- Investigator at UAH must meet the same eligibility requirements as a Principal Investigator. There may be more than one Co- Investigator.

**Process to Request Principal Investigator Status:**

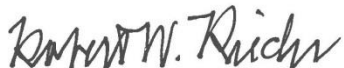
When an individual without one of the above-listed automatically PI-eligible positions considers submitting a proposal as a principal investigator, a formal request must be prepared setting forth a rationale for the individual to serve as principal investigator. The request should be forwarded to the Vice President for Research and copied to the Director of the Office for Sponsored Programs via email, and must include the following elements:


- 1) Individual's CV
- 2) Individual's current appointment period at UAH
- 3) Sponsor and funding mechanism or program
- 4) Abstract of research
- 5) Estimated budget and period of performance
- 6) Indication of support of the request from the center director or chair (with dean's approval).

Please note that approval for principal investigator status is on a proposal-by-proposal basis. Additionally, it should be self-evident in a PI status request that a salary increase or an appointment is not contingent upon the success of any proposal.

**Review** The Office of Sponsored Research is responsible for the review of this policy every four (4) years, (or whenever circumstances require).

**Approval**

  
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Chief University Counsel

  
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Vice President for Research and Economic Development

  
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Provost and Executive Vice President for Academic Affairs

  
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Director, Office of Sponsored Programs

**APPROVED:**

  
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President