

**College of Health Sciences**  
**Office of Graduate Studies & Research**  
Principal Investigator, Co-Principal Investigator, and Co-Investigator Policy

**Current UWM Policy:**

“Only faculty and probationary or indefinite status academic staff may serve as Principal Investigator on a sponsored project. Others may serve only by special exception to policy. Requests for exception are made by the Dean or Division Head that will be administering the award to the Associate Provost for Research (Dean of the Graduate School).”

**CHS Policy:**

**I. Policy**

- A. Proposals for extramural support of research, training, or public service projects may be submitted only by eligible UWM College of Health Sciences appointees who have primary responsibility for design, execution, and management of the project, who will be involved in the project in a significant manner, and who will serve on a research project as Principal Investigator or on a training or public service project as Project or Program Director or Project Administrator.
- B. Principal Investigator: A faculty, probationary, or indefinite status academic staff member 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, administrative (including fiscal affairs) conduct and reporting of the project. A Principal Investigator who is the head of a training or public service project may be known as a Project or Program Director, or Project Administrator. “Primary responsibility” may not be re-delegated explicitly or implicitly to individuals who do not qualify in their own right to serve as Principal Investigator, Project or Program Director, or Project Administrator. The Principal Investigator is responsible for meeting the terms and conditions of the award and for representing the project to the sponsor.
- C. Co-Principal Investigator: Designations of Co-Principal Investigator, Co-Project or Program Director, or Co Project Director may be applied only to individuals meeting the criteria in “B” above and only when the sponsoring agency recognizes Co-Principal Investigators as equals on a project by issuing the award in the names of such individuals (note that not all sponsors, for example the NIH, allow Co-PIs to be named on projects). One of two or more Principal Investigators who share responsibility for the scientific, technical, and administrative conduct and reporting of a project shall be considered to be a Co-Principal Investigator. Where Co-PIs

enjoy this equal status, all official grant/contract transactions (re-budgeting, requests for no cost extensions, changes in the scope of work, etc.) and all financial transactions in excess of \$50.00 will require the approval of all Co-PIs.

- D. Co-Investigator:** In some cases, several individuals conduct the scientific portion of the project. One (or more) of these investigators is designated Principal Investigator (or Co-Principal Investigator) while the other investigators will be considered as co- investigators, provided the sponsor accepts the role of co-investigator.

## **II. Exceptions to Policy**

**A. Exceptional Principal Investigator Status: Policy Criteria**

Eligibility exceptions normally are limited to a specific project. Approval of an exception requires demonstration that the proposed project or program is sufficiently important to the achievement of educational, research or public service goals of the submitting unit and of the College. Individuals recommended for Principal Investigator status on a research project must possess qualifications which satisfy the general standards of research competence appropriate to the professorial rank comparable to the non-faculty or non-academic staff appointment held by the candidate. Recommendations for service as Program or Project Director or Project Administrator on a training or service project will be evaluated in terms of individual competence in the program area.

**B. Requests for Exception**

Requests for exceptions must be submitted in writing to the CHS Associate Dean for Graduate Studies & Research and include the following:

- a one page abstract describing the research project
- a CHS Internal Routing form and UWM Graduate School Transmittal form
- a budget and budget justification
- a statement that the applicant is a UWM employee, appointed at more than 50% time, who is able to carry out the responsibilities incumbent upon principal investigators
- the applicant's curriculum vitae

The request must be signed by the appropriate Department Chair or Center Director. Upon approval, a copy of the exception signed by the Associate Dean for Graduate Studies & Research will be forwarded to the UWM Graduate School for final approval.