

University of New England
Policy on Principal Investigator Eligibility
Rev. 7/1/19

This policy sets forth which classes of employees shall be considered eligible to submit proposals for external funding as Principal Investigator on behalf of University of New England (UNE). A Principal Investigator (“PI”) is defined as the individual designated by the University and/or Sponsor to be primarily responsible for the technical, administrative and fiscal aspects of the award, and for carrying out the terms and conditions of the award in accordance with UNE policies and procedures*.

1. Any faculty employee who holds one of the following positions, whether tenure-track or not, full-time or part-time, is eligible for PI status:

- **Professor**
- **Associate Professor**
- **Assistant Professor**
- **Senior Lecturer**
- **Associate Lecturer**
- **Assistant Lecturer**
- **Clinical Professor**
- **Associate Clinical Professor**
- **Assistant Clinical Professor**
- **Clinical Instructor**
- **Research Professor**
- **Associate Research Professor**
- **Assistant Research Professor**

2. The following faculty designations are generally NOT eligible for PI status:

- **Visiting Faculty**
- **Adjunct Faculty** (at any level)
- **Retired Faculty** (except “Emeritus,” see below)

3. The following faculty designation MAY be eligible for PI status, if certain criteria are met:

- **Emeritus Faculty**

Each Emeritus faculty member wishing to submit a proposal for external funding, shall be considered for PI status on a case-by-case (proposal-specific) basis, by the Provost. The decision will depend on several factors, including availability of appropriate space and resources to conduct the project, overall fit with current University strategy and priorities, favorable recommendation from relevant senior personnel (e.g. Department Chair, Dean, Associate Provost for Research & Scholarship, etc.). Emeritus faculty wanting to serve as a PI, Co-PI, or Co-Investigator have the option to be re-employed by the University and placed on payroll for the percentage of time they will serve as a PI, Co-PI, or Co-Investigator at the time of award, up to a maximum of 49% total annualized effort. Emeritus faculty who choose not to be re-employed, will be required to certify their time and effort via a manual process and not through the standard time-and-effort certification system.

4. The following are examples of non-faculty positions which MAY obtain PI status, with the approval of their Dean or the Associate Provost for Research, or, in the case of institutional or for functional area proposals, their relevant Vice President, particularly for certain grants such a training grants, postdoctoral or other fellowship awards, etc.:

- **Postdoctoral Associates/Fellows**

*for the purpose of this policy, “PI” shall also mean “Co-PI”, or “Co-I” where a subaward to UNE is proposed.

- **Center or Institute Director**
- **Library Professionals**
- **Facilities Professionals**
- **Sustainability Professionals**
- **Environmental Professionals**
- **Functional Area Vice -Presidents (e.g. Student Affairs)**

5. Note that PI Status or eligibility is NOT a guarantee that the university will choose to endorse or submit any particular proposal. Individuals with an employment status not listed in 1. (above) should seek approval before writing or submitting a proposal, and proposals submitted without this prior authorization may be declined for submission through UNE. All PIs will be subject to the Proposal Submission policies of the University, including timely preparation and submission of a Proposal Transmittal Form (“pink sheet”) to the UNE Office of Sponsored Programs, bearing appropriate internal approvals.

6. Individuals with contingent offers of employment in one of the approved positions above may submit an application only with the prior approval of the Director of Research Administration and with a signed contingent offer letter from a duly authorized individual in the Human Resources office.

Questions regarding this policy may be directed to the Associate Provost for Research & Scholarship, the Office of Research & Scholarship, or the Provost’s Office.

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