## OFFICE OF SPONSORED PROJECTS

PO Box 4130

525 S Beaver Street

Flagstaff, Arizona 86011

Science Annex Building #20, 4th floor

Phone (928) 523-4880 / Fax (928) 523-1075

**Request for Approval to Serve as a Principal or Co-Principal Investigator**

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| INSTRUCTIONS: Please provide the information requested below using this form or in a letter incorporating the requested information. The request should be submitted to the Office of Sponsored Projects (OSP) Grant and Contract Coordinator (GCC) responsible for the department/unit. Approval must be obtained **prior** to routing a proposal for internal approvals, and a copy of the approval document must be included with the proposal routing package.  Once completed, please forward this form to your GCC.  For additional information, please refer the [PI Eligibility Policy](https://nau.edu/university-policy-library/principal-investigator-eligibility/). |

Name:       Empl. ID:       Title:

Department:       Phone #:

Sponsor’s name:

Request is for **PROJECT-LIMITED** approval to submit proposals.

Request is for       **PI** or       **Co-PI** approval. If requesting Co-PI approval, who is the PI of record for the proposal?

For approval, please provide the following information:

Proposal #:       and/or Award Account #:

Project Title:

Proposed Sponsor:

Program:

Period of Performance:

Proposal Deadline:

**Please provide the following information:**

1. Provide a brief (2-3 sentence) description of the proposed project/research program.

1. Is the proposed project/research program in line with department/college/university research directions and does it support the University’s mission?

1. What are the qualifications of the individual to undertake the proposed project or program? (Does the individual have the requisite training, skill, commitment, and expertise necessary to compete for his or her own sponsored program and/or to administer the project?)

1. Is the individual likely to remain at the University for the full term of the grant? (What is the individual’s seniority and duration of appointment at NAU? What are the department/unit’s plans for future appointment status of the individual through the end date of the proposed grant/project period and afterwards?)

1. Should the individual leave NAU prior to the conclusion of the project, is the department/college in a position to continue the project under the direction of another PI, or is the research topic so narrow that an alternative PI would not exist? That is, how will the department/unit assure that project(s) are conducted in accordance with the sponsor’s terms and conditions?

1. Does adequate space for the project exist within the unit for the duration of the project and/or period of eligibility?

1. Are there potential or hidden costs such as the need to manage an international project, import/export considerations, etc. which the department/unit and university should consider?

1. Are there any regulatory compliance issues that affect eligibility?

1. If funded, will the project cause the individual’s FTE to exceed 1 FTE?

1. Is the individual responsible for funding his/her position through extramural funding?

**Requestor:** I certify that the information provided above and in the attached documents is accurate to the best of my knowledge. I understand the approval of this exception to policy does not imply that the University will extend or increase my current appointment period, nor does it obligate the University to do so. By signing this form I agree to comply with the Arizona Board of Regents Intellectual Property Policy 6-908 and Northern Arizona University’s Intellectual Property Policy.

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Co-PI Print Name Co-PI Signature Date

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PI Print Name PI Signature Date

**Department/Unit/College Endorsement**: The proposed exception to the policy on principal investigator eligibility is in the best interests of the department/unit/college for the reasons given above, and we endorse this request. Additional comments:

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Department Chair/Director Print Name Signature Date

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Dean/Director Print Name Signature Date

**DO NOT WRITE BELOW THIS LINE**

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**OSP APPROVAL:**

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Stacia Levy, Associate Vice President, Research Date