

FAS Guidelines for Nonfaculty Professional Research Staff: Designation of Principal Investigator Status and Honorific Faculty Titles

- All tenured and tenure track faculty have Principal Investigator Status
- Only designated Research Scientists have Principal Investigator Status or Research Professor status
- All Research Professors have Principal Investigator status

Two designations exist for nonfaculty professional research staff who make special contributions to a department or who merit special consideration in establishing independent research programs. *Principal Investigator* and *Research Professor* status are awarded on the basis of specific credentials and justifications, as noted below.

Research Scientists with Special Designations			
	Research Scientists	Principal Investigator Status	Research Professor Status
Duties	<ul style="list-style-type: none"> • Conduct research under supervision of principal investigator. 	<ul style="list-style-type: none"> • Oversight and accountability for programmatic and fiscal administration of external grants. 	<ul style="list-style-type: none"> • Oversight and accountability for programmatic and fiscal administration of external grants. • Contribute to department's research and training mission. • Occasional teaching assignments.
Privileges	<ul style="list-style-type: none"> • Not applicable. 	<ul style="list-style-type: none"> • Can submit proposals for external funding, and oversee externally funded programs. • Eligible to compete for University funds (Research Challenge Fund). 	<ul style="list-style-type: none"> • Can submit proposals for external funding, and oversee externally funded programs. • Eligible to compete for University funds (Research Challenge Fund). • Courtesy faculty title (with no implications for tenure).
Justification for Special Designation	<ul style="list-style-type: none"> • Not applicable. 	<ul style="list-style-type: none"> • Proficiency to compete for external funds to conduct research of an acceptable standard to department/ school and congruent with department/ school interests and resources. 	<ul style="list-style-type: none"> • Demonstrated success competing for external funds to conduct research of an acceptable standard to department/ school and congruent with department/ school interests and resources. • Substantial professional stature. • Teaching contribution to department.
Ranks	<ul style="list-style-type: none"> • Junior, Assistant, Associate, Full, Senior. • Ranks correspond to years of professional experience and level of research competence. 	<ul style="list-style-type: none"> • Designation is not ranked. 	<ul style="list-style-type: none"> • Assistant, Associate, Full, Senior. • Ranks correspond to years of experience, research competence.

Appointment Process	<ul style="list-style-type: none"> • Written letter which follows format of faculty appointment, and lists duties, title, salary, term of appointment (noting that term of appointment depends on continued funding). 	<ul style="list-style-type: none"> • Special designation requires Chair’s request, Dean’s endorsement, and approval from the University. <p>The following questions should be addressed in any recommendation for Principal Investigator status:</p> <ol style="list-style-type: none"> 1. Does the individual have sufficient stature to compete for external funding with some chance of success? 2. What has been the extent of the individual's relationship with the University to date? How long is the relationship expected to continue? 3. Are graduate or undergraduate students to be involved in the research program? If so, who will supervise their research with respect to grading and meeting degree requirements? If the PI leaves, what happens to a student's project? 4. Are postdoctoral fellows to be involved in the research? Will the award cover their stipends? 5. Is the proposed research congruent with the interests of the department? 6. Will departmental resources be required for the project? Additional space, equipment, supplies, equipment maintenance costs? Will space needs have an adverse effect on existing faculty space? 7. Will award funds replace expenditures required by the department, e.g., salary support for technicians, etc.? 	
Accountability	<ul style="list-style-type: none"> • To Principal Investigator, department chair. 	<ul style="list-style-type: none"> • To faculty sponsor, department chair. • Chair’s sign off on grant proposals. 	<ul style="list-style-type: none"> • To department chair. • Chair’s sign off on grant proposals. • Department review of teaching

Special designations as *Principal Investigator* or *Research Professor* have no implications for salary, benefits, termination and severance.

Cost Center for Salary	External Funds	Same as for Research Scientist	Same as for Research Scientist
Salary minimum	12 month minimum (\$24,000). Minimum can be met by supplementing from sources outside NYU. Additional compensation for additional work, including teaching, is possible if this does not reduce time on the sponsored project.	Same as for Research Scientist	Same as for Research Scientist
Salary increases	Proposed annually to FAS using specified guideline of salary merit pool. Increases are subject to availability of external funding.	Same as for Research Scientist	Same as for Research Scientist
Benefits	Same as Code 100 Administration	Same as for Research Scientist	Same as for Research Scientist
Termination	When external funding ends. Term of appointment statement in the appointment letter constitutes due notice for termination. Four-month leave-without-pay is available when employee has been full time for 2 consecutive years and when renewal of grant or other source of funding is expected.	Termination of appointment is same as for Research Scientist. (Expectation is that special designation will continue during term of appointment as Research Scientist.	Same as for Principal Investigator
Severance Pay	If terminated within the term of appointment for lack of funds or changing programmatic needs, one month's written notice is required. There is severance pay after 3 years of continuous service.	Same as for Research Scientist	Same as for Research Scientist

Note: Research Scientists are not to be confused with *postdoctoral fellows* who are trainees rather than employees and are typically supported on training grants or fellowships.

Associate Dean for Science
 Issued, January 21, 1998
 Amended, December 2002