

## NYU ABU DHABI PI Guidelines

Effective Date:

Date approved: September 24, 2021

Supersedes: n/a

Issuing Authority:

NYUAD Office of the Provost

Responsible Officer:

NYUAD Office of the Senior Vice Provost of Research and Research Institute

Related Policies:

NYU Sponsored Research Guidelines

In line with NYU Sponsored Research Guidelines<sup>1</sup>, Principal Investigator (PI) Status at NYU Abu Dhabi is determined as follows:

To ensure that research is conducted by those who have the requisite training and skill, as well as the appropriate relationship to NYU Abu Dhabi, the institution will normally sponsor proposals only when the principal investigator or project director is employed full-time by NYU Abu Dhabi and holds an appointment as tenured/tenure-track or continuing contract faculty.<sup>2</sup>

For all other appointment categories, the application for Principal Investigator status must follow the correct approval process. (see the following section). See appendix for full eligibility requirements by type of faculty appointment as well as other appointment categories.

### *Applications for PI-Status for Other Appointment Categories*

For all other appointment categories except NYU Abu Dhabi standing, full-time faculty (with a primary appointment at NYU Abu Dhabi), an application for PI status needs to provide the following for the respective research project:

- an approval from the respective Principal Investigator (if applicable) and/or line manager
- a detailed explanation about how the implementation of the envisioned research project does not impact the individual's existing professional obligations (if applicable, within a respective sponsored research-supported project).

Requests for PI status must furthermore include an approval given by the respective divisional Dean or equivalent based on an application that outlines how the project, in case of a successful application, would impact NYU Abu Dhabi resources (infrastructure, space, personnel, budget, etc.).

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<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sponsored-research-guidelines.html>

<sup>2</sup> For NYU grants for Full-Time Continuing Contract Faculty, please see:

<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/continuing-contract-faculty-as-principal-investigators-of-sponso.html>

U.S. Federal and U.S.-based Sponsors: The NYU Abu Dhabi Provost must approve the request for PI status as aligned with the NYU Policy on PI-PD Status.<sup>3</sup>

UAE-based and NYU Abu Dhabi-managed sponsors: The NYU Abu Dhabi Senior Vice Provost for Research must approve the request for PI status.

For any other sponsors, please contact [nyuad.grants@nyu.edu](mailto:nyuad.grants@nyu.edu).

NYU Affiliated Faculty, Visiting Faculty, Research Scientists/Scholars, Postdocs, Ph.D. Students are **typically not** eligible for internal research grant opportunities offered by NYU Abu Dhabi (unless otherwise noted and specifically targeted through the opportunity). PI status for these appointment categories will not come with any additional resources.

The evaluation of the PI-status request will follow the NYU Sponsored Research Guidelines (in particular, the standards and conditions stated in NYU Policy “Code 103 Professional Research Personnel”.<sup>4</sup>)

### *External Grants*

All external grant proposal submissions require approval from the PI, Co-PIs, respective Dean(s) at NYU Abu Dhabi, as well as institutional sign-off by the NYU Abu Dhabi Office of Research Administration.<sup>5</sup>

For any grants outside of NYU Abu Dhabi, the NYU Sponsored Research Guidelines apply.

For the eligibility of Continuing Contract Faculty to serve as Principal Investigators on grants sponsored by NYU or an external grant agency, please see the respective University policy.<sup>6</sup>

In all cases of external grants, PI-status for grants outside of NYU Abu Dhabi is contingent on the PI-requirements of the grant sponsor (i.e., external requirements supersede internal NYU Abu Dhabi and NYU guidelines).

Non-US and non-federal grants will be administered directly by NYU Abu Dhabi.

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<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/policy-principal-investigator-project-director-status.html>

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<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/procedures-for-granting-project-directorprincipal-investigator-status-to-code-103-professional-research-personnel.html>

<sup>5</sup> See also <https://intranet.nyuad.nyu.edu/faculty-resources/research/research-administration/pre-award/>

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<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/continuing-contract-faculty-as-principal-investigators-of-sponso.html>



## APPENDIX

### 1. ELIGIBILITY FOR NYU ABU DHABI EXTERNAL GRANTS

***Standing Faculty (with primary appointments at NYUAD): T/TT (all ranks), CF (all ranks)***<sup>7</sup>:

Full eligibility for all grants (external grants contingent on sponsor requirements)

***Standing faculty with joint appointments based on the NYUAD Cross-School Appointment Guidelines:***

Full eligibility for all grants (external grants contingent on sponsor requirements)

***NYU Standing Faculty (including participants in the NYUAD Affiliate Faculty Program, Affiliated/Associated Faculty):***

Eligibility contingent on sponsor requirements and duration of affiliation/association status at NYUAD.

***Other Appointment Categories (e.g., Visiting Faculty; Academic Librarians, Research Scientists/Scholars; Postdocs; Ph.D. Students):***

Eligibility contingent on approval by NYU Abu Dhabi Provost or Senior Vice Provost for Research based upon sponsor eligibility requirements, contractual status, etc.

### 2. PARTICIPANT ROLES FOR NYU ABU DHABI INTERNAL GRANTS<sup>8</sup>

#### **Principal Investigator (PI)**

The PI must have a full-time faculty appointment at NYU Abu Dhabi, either as a tenured or tenure-track assistant, associate, or full professor or via a long-term faculty contract with a primary appointment at NYU Abu Dhabi.

#### **Co-Principal Investigator (Co-PI):**

A Co-PI must have a full-time faculty appointment at NYU Abu Dhabi, either tenured, tenure-track, or continuing contract, or be a full-time faculty within the NYU Global Network.

#### **Investigator:**

Investigators should have a full-time faculty appointment at NYU Abu Dhabi, either tenured, tenure-track, or continuing contract, or be a full-time faculty within the NYU Global Network, or faculty at other institutions who have PI status as per their institution's policies.

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<sup>7</sup> For CF (all ranks), see also <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/continuing-contract-faculty-as-principal-investigators-of-sponso.html>

<sup>8</sup> See specific Request for Proposals (RFP) for more information about each program.

Persons in non-faculty positions are also eligible to serve as Investigators as long as they have the requisite expertise and experience to responsibly lead the sub-concentration.

Visiting faculty, regardless of contract duration, are ineligible to apply for internal competitive funds.