

**REQUEST FOR EXCEPTION  
TO SERVE AS PRINCIPAL OR CO-PRINCIPAL INVESTIGATOR  
(Form 99)**

Requests for exceptions to serve as Principal or Co-Principal Investigator are made in accordance with Research Circular B.1.

To determine if an individual is eligible to serve as Principal Investigator, please see Section II.A.  
To review the responsibilities and relationships of Principal Investigators, please see Section III.A.  
To review the responsibilities and relationships of Sponsoring Investigators, please see Section III.C.

Sponsoring Agency: \_\_\_\_\_

Project Title: \_\_\_\_\_

Administering Department/ORU: \_\_\_\_\_

Exception for:

_____	To Serve As:		
Proposed PI Name	Sole PI	Lead PI	Co-PI
_____	_____	_____	
Current Payroll Title	Current % Time	Appt. End Date	

If this exception is for an individual to serve as a Lead PI or Co-PI, then an eligible Co-PI must be listed in the box below. This Co-PI must also sign on the Co-PI approval line on the following page.

*If applicable:*

_____	<i>*Co-PI must be eligible in accordance with Research Circular B.1.</i>		
Co-PI Name			
_____	_____	_____	
Current Payroll Title	Current % Time	Appt. End Date	

1. In accordance with Section II.C.1. of Research Circular B.1, state why it is necessary and in the best interest of the University for the individual seeking this exception to serve as Principal Investigator on this project or program.

2. Summarize the individual's qualifications to undertake this project. This should include any prior history of serving as a Principal Investigator or Co-Principal Investigator on grants or contracts awarded by extramural sponsors. It also should include the extent of their experience and knowledge of UCSB policies and procedures related to research. If the proposed Principal Investigator does not have experience and/or knowledge of UCSB policies and procedures related to research, describe what steps will be taken to attain the necessary knowledge.

3. Please attach the Proposed Principal Investigator's full Curriculum Vitae, the program solicitation (guidelines), and any additional information that may assist us in our review of this request.

**Approvals:**

Proposed PI: Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

*\*I understand that approval of this exception does not imply that the University will extend my current appointment period, nor does it obligate the University to do so.*

Co-PI (if any): Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Department Chair/ORU Director: Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

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Director of Sponsored Projects or designee:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Sponsoring Principal Investigator Required?                      Yes                      No

If yes, Name: \_\_\_\_\_ Signature: \_\_\_\_\_

***All Sponsoring Principal Investigators should carefully review Research Circular B.1. and understand their roles and responsibilities.***