

**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 issued pursuant to Research Circular B.1.  
To determine if an individual is eligible to serve as principle investigator, see Section III.A.  
To review the role and responsibilities of principal investigators, please see Section II.C.1  
To review the role and responsibilities of sponsoring investigators, please see Section II.C.3

Exception for:

_____	_____	_____
<i>Name</i>	<i>Signature*</i>	<i>Date</i>
_____	% Time _____	Appt. End Date: _____
<i>Current Payroll Title</i>		

*\*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.*

Agency:

Co-PI (if any)

Project Title:

Administering  
Department/ORU:

1. State why it is necessary 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, including their prior history of serving as a Principal Investigator or Co-Principal Investigator on grants or contracts awarded by extramural sponsors, and the extent of their experience and knowledge of UCSB policies and procedures related to research.

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**Approvals:**

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

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

Vice Chancellor for Research or Designee: \_\_\_\_\_ Date: \_\_\_\_\_

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Sponsoring Investigator Required?      Yes: \_\_\_\_\_      No: \_\_\_\_\_

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

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