



**Division of Research  
University Policy**

<b>SUBJECT:</b> <b>Principal Investigator Eligibility</b> for Proposal Submissions and Compliance Protocols	<b>Effective Date:</b> 02/06/2018	<b>Policy Number:</b> 10.2.8
	<b>Supersedes:</b> 1/14/13; 1/19/12; 11/1/08 6/21/10; 8/17/10	<b>Page 1 of 3</b>
	<b>Responsible Authorities:</b> Vice President for Research Assistant Vice President for Research, Office of Sponsored Programs Assistant Vice President for Research, Research Integrity Office	

I. BACKGROUND

When Florida Atlantic University (FAU) submits proposals to external sponsors and accepts awards for sponsored projects, the university assumes significant financial and legal obligations. Sponsors fund projects based on the professional expertise of the Principal Investigators submitting proposals; however, the formal award is in the name of Florida Atlantic University Board of Trustees. FAU has similar responsibility pertaining to the submission of compliance protocols for all projects.

II. PURPOSE

To establish a policy that will provide guidance to all members of the university community, to include all students, faculty, and staff seeking Principal Investigator or Co-Principal Investigator status.

III. GENERAL STATEMENT

Under the general oversight and authority of Florida Atlantic University, the Principal Investigator is the individual who bears primary responsibility for technical compliance, completion of programmatic work, fiscal stewardship of sponsor funds, and compliance with administrative requirements of the project. Thus, the University must ensure that individuals serving in the capacity of Principal Investigator have the technical competence and administrative capabilities to carry out all project s.

IV. POLICY

The Principal Investigator Eligibility policy provides institutional requirements for who may serve as a Principal Investigator (PI) and a Co-Principal Investigator (Co-PI) on all projects at Florida Atlantic University.

Individuals **employed** by Florida Atlantic University that hold one of the following positions may serve as Principal Investigator (PI) and Co-Principal Investigator.

#### **Eligible PI Positions List**

Individuals who are employed by Florida Atlantic University (FAU) and hold one of the following positions may serve as Principal Investigator (PI) or Co-Principal Investigator (Co-PI).

- Tenure-Track Faculty (full, associate and assistant professors)
- Research Faculty - non-Tenure-Track (full, associate and assistant professors)
- Directors or Executive Directors within a unit at FAU
- Librarians holding faculty status equivalent to or greater than Assistant Professor
- Vice Presidents of service areas
- Principals, Assistant Principals, and Directors (Associate and Assistants) for A.D. Henderson University School and FAU High School.
- Faculty Emeritus (May serve as PI when an individual from the “Eligible PI Positions List” also serves as Co-PI)

#### **Eligible Co-PI Positions List**

Individuals who are employed by Florida Atlantic University and hold one of the following positions may serve as a Co-Principal Investigator (Co-PI) or Co-Investigator (Co-I) when one of the individuals listed on the “Eligible Positions List” above is named as the Principal Investigator (PI).

**Individuals with these positions cannot serve as PI.**

- Instructors
- Adjunct Faculty
- Affiliate Faculty
- Post-Doctoral Fellows
- Visiting Faculty

#### **Graduate Students and Post-Doctoral Fellows**

Graduate students and Post-Doctoral Fellows may apply for fellowship funds with prior approval of the Department Chair and Dean, if allowable by the sponsor, and an individual listed on the “Eligible PI Positions List” provides oversight. For FAU purposes, the individual from the “Eligible PI Positions List” will serve as the PI.

#### **Salary Support (Applies to Proposal Submissions only)**

All PI’s and Co-PI’s named in sponsored proposals must include salary support on the proposal budget, unless exempt through FAU’s Time and Effort Certification Policy (Policy Number 10.5.17) or when disallowed by the sponsor.

#### V. EXCEPTIONS

Exceptions to this policy should be rare, but may be granted at the discretion of the Vice President for Research or the Assistant Vice President for Research in the Office of Sponsored Programs and the Research Integrity Office, with the approval of the college dean or unit director.

VI. Definitions

**Affiliate Faculty.** An individual whose knowledge, experience, and expertise make a significant contribution to the University. An affiliate faculty may or may not include compensation.

**Adjunct Faculty.** A non-tenured individual who has a part-time faculty appointment for a specific length of time.

**Co-Principal Investigator/Multiple PI.** One of two or more Principal Investigators who share responsibility for the project. Each person is considered a Co-Principal Investigator.

**Compliance Protocols.** Protocols submitted when human or animal subjects are used as part of a project. The project could be externally funded, internally funded, or unfunded.

**Faculty.** An individual who has a full-time tenured or tenure-track faculty appointment or who has a full-time limited-term faculty appointment.

**Faculty Emeritus.** Emeritus is an honorary title that may be conferred to retired faculty or academic administrators who have a long-term history of meritorious service to higher education and Florida Atlantic University.

**Graduate Student.** A person studying for a degree beyond the bachelor's degree.

**Instructor.** An individual holding a regular, full or part-time, non-tenure earning teaching faculty appointment at Florida Atlantic University.

**Post-Doctoral Fellow.** A person engaged in postdoctoral research, study, or engaged in a fellowship or position for postdoctoral work.

**Principal Investigator.** The individual responsible for leading the research effort described in a proposal for an award. The Principal Investigator is responsible for the programmatic and administrative aspects of a project, ensuring all terms and conditions of project are met.

**Research Faculty.** Research faculty are not eligible for tenure. These appointments are normally 100% research. They are normally not assigned instructional responsibilities, they may teach courses appropriate to their background when it is mutually agreed upon.


**Sponsored Projects.** Sponsored projects are externally funded activities in which a formal written agreement (grant, contract or cooperative agreement) is entered into by FAU and the sponsor.

Policy Review: The PI Eligibility policy will be reviewed annually and updated on an as needed basis.

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**POLICY APPROVAL**

Initiating Authority

Signature:  Date: 2/6/2018  
Dr. Daniel Flynn, Vice President for Research