



SUBJECT: Principal Investigator Eligibility	Effective Date: 1-14-13	Policy Number: 10.2.8	
	Supersedes: 1-19-12 11-1-08 6-21-10 8-17-10	Page 1	Of 4
	Responsible Authorities: Vice President, Research Director, Sponsored Programs		

I. APPLICABILITY

This policy is applicable to all members of the university community, including all students, faculty, and staff seeking Principal Investigator or Co-Principal Investigator status on any sponsored project.

II. BACKGROUND

When Florida Atlantic University 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 made in the name of Florida Atlantic University on behalf of the Board of Trustees. 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 a sponsored project.

III. POLICY

The following Statement of Principal Investigator Eligibility provides institutional requirements for who may serve as a Principal Investigator on an externally sponsored project at Florida Atlantic University. All other requirements, including the requirement for proper approvals on the pre-award routing sheets, are still applicable for all proposals. Any individual who holds a position including but not limited to the ones listed below, may be identified as a Principal Investigator for sponsored activities:

- Tenure track faculty (full, associate, and assistant professors)
- Non-tenure track research faculty (full, associate, and assistant research professors)
- Director of a state designated University Institute or University Center
- Librarians holding faculty status equivalent to or greater than Assistant Professor
- Vice Presidents of service areas (VP Strategic Planning, Sr. VP Strategic Relations & General Counsel, VP and Associate Provost for Regional Campuses, Associate VP Governmental Relations, Sr. VP Student Affairs, Sr. VP Finance & Administration, VP Facilities & University Architect, Sr. VP University Advancement, and Sr. VP Communications & Marketing)

On a case-by-case basis, the Department Chair and Dean¹ can recommend a retired faculty member as a Co-Principal Investigator for sponsored activities. Approval of the Vice President for Research is required. In addition, an individual listed above has to be the Principal Investigator.

On a case-by-case basis, the Department Chair and Dean¹ can recommend an individual who holds one of the positions listed below as a Principal Investigator for sponsored activities **IF** one of the individuals listed above is also named as a Co-Principal Investigator on that project:

- Instructors
- Adjunct/Affiliate faculty
- Emeritus faculty
- Research Associates

Approval of the Vice President for Research is required when an individual in one of the positions on the latter list will serve as a Principal Investigator.

Please note that some agencies do not permit co-Principal Investigators.

In some cases, a sponsoring agency may have restrictions for who may serve as a Principal Investigator on a particular project or program that are more stringent than Florida Atlantic University policy. In these cases, the sponsor's requirements will take precedence over institutional policy for that particular project.

In the case where a sponsor may require, allow, or expect an individual to serve as a Principal Investigator who, under normal Florida Atlantic University policy would otherwise not be eligible, the individual will have a tenure track faculty member (or Research Faculty with an Affiliate Appointment) serve as a Co-Principal Investigator for internal purposes and assume responsibility for compliance with sponsor and institutional requirements. Fellowships or other training awards are examples where sponsor and institutional requirements may conflict.

If the Department Chair and Dean are confident in the abilities of an individual (who would otherwise be ineligible) to serve as a Principal Investigator, the Department Chair and Dean may request in writing to the Vice President for Research, a deviation from the policy. Such a request will also contain a statement by the Department Chair and Dean that he or she will assume full responsibility for the actions of that individual in their capacity as Principal Investigator.

¹ In the case of HBOI only, the Executive Director is the equivalent of the Dean and Unit/Center Directors are the equivalent of Department Chairs.

Graduate students and postdocs may apply for fellowship funds with prior approval of the Department Chair and the Dean, if allowable by the sponsor, and oversight is provided by an individual who is to be a Principal Investigator as outlined above.

IV. DEFINITIONS

Affiliate Faculty. An “Affiliate Faculty” is an individual whose knowledge, experience, and expertise make a significant contribution to the University. Affiliate Faculty are not employed as faculty members and do not receive financial remuneration by the University.

Adjunct Faculty. An “Adjunct Faculty” is a non-tenured individual who has a part-time faculty appointment for a specific length of time at the Florida Atlantic University.

Co-Principal Investigator. A “Co-Principal Investigator” is one of two or more Principal Investigators who share responsibility for the project. Each person shall be considered a Co-Principal Investigator.

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

Instructor. An “Instructor” is an individual holding a regular, full or part-time, non-tenure earning faculty appointment at the Florida Atlantic University.

Postdoc. A person engaged in postdoctoral research, study, etc, or engaged in a fellowship or position for postdoctoral work.

Principal Investigator. A “Principal Investigator” is an individual who is primarily responsible for, and in charge of, a funded sponsored project.

Research Associate. A “Research Associate” is an individual with experience and scholarly qualifications comparable to regular tenure-track and tenured faculty members. Appointees are professional researchers who are interested in and capable of independent investigation and publication, and who support the research mission of the University by assisting a department or center to achieve its research goals.

Regular Faculty. A “Regular Faculty” is an individual who has a full-time tenured or tenure-track faculty appointment to the Florida Atlantic University, or who has a full-time limited-term faculty appointment.

Research Faculty. “Research Faculty” are not eligible for tenure. These appointments are normally funded from sponsored projects or other non-appropriated University funds; are contingent upon the availability of funding and should be at a rate comparable to that of regular faculty of the same rank. Their research should complement the research programs of regular faculty members in the department or center. Although they are not normally assigned instructional responsibilities, they may teach courses appropriate to their background when it is mutually acceptable to them and to the department and occasionally take part in upper level or graduate teaching or seminar activities. Personnel costs for Research Faculty instruction should not be paid from research grants/contracts unless explicitly indicated in the proposal and award.

Sponsored Project. A “Sponsored Project” is an initiative funded by a generated grant, contract, and/or a cooperative agreement.

V. Annual Review of Procedures Manual

The Principal Investigator Eligibility Policy will be reviewed annually.

POLICY APPROVAL

Initiating Authority

Signature: Barry T. Rosson Date: 1/14/13

Name: Barry T. Rosson, Vice President for Research