

# Auburn University



## Statement of Principal Investigator Eligibility

When Auburn 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 Auburn University. Under the general oversight and authority of Auburn University, the Principal Investigator of a sponsored project 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 carryout a sponsored project. The following Statement of Principal Investigator Eligibility provides institutional requirements for who may serve as a Principal Investigator on an externally sponsored project at Auburn University.

Any individual who holds one of the following positions may be identified as a principal investigator for sponsored activities:

- Tenure track faculty (full, associate, and assistant professors)
- Nontenure-track research faculty (full, associate, and assistant research professors)
- Research Fellow IV
- Director of a formal university Institute or Center
- Librarians holding faculty status equivalent to or greater than Assistant Professor

Any individual who holds one of the following positions may be identified as a principal investigator for sponsored activities **IF** one of the individuals listed above is also named as a Co-Principal Investigator on the project:

- Instructors
- Adjunct/Affiliate faculty
- Emeritus faculty
- Curators
- Resident
- Research Fellow III
- Post Doctoral Fellow

On a case-by-case basis, the Department Head and Dean of the performing unit can recommend an individual who holds one of the following positions as a Principal Investigator. Approval of the Vice President for Research is required.

*Please note that matters of National Security, Export Control, or immigration status may affect approval of such requests*

- Visiting faculty
- Visiting scholars

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 Auburn 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 Auburn University policy would otherwise not be eligible, the individual will have a tenure track faculty member 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 Head and Dean are confident in the abilities of an individual (who would otherwise be ineligible) to serve as a Principal Investigator, the Department Head or Dean may request, in writing to the Vice President for Research, a deviation from policy. Such request will also contain a statement by the Department Head and Dean that he or she will assume full responsibility for the actions of that individual in their capacity as Principal Investigator.

Individuals allowed to serve as Principal Investigators on sponsored activities are expected to comply with the Auburn University statement on the Roles and Responsibilities of individuals engaged in sponsored activities. Nothing in this statement is intended to conflict with anything in the other. Questions of possible conflicting statements will be addressed to the Vice President for Research for clarification.

This statement is accepted by the Program Management Council. September 13, 2001  
Date