Arizona State University

Research and Sponsored Projects Manual (RSP)

RSP 102: Principal Investigator Eligibility

Effective: 1/1/1987   **Revised**: 11/01/2024

Purpose

To define eligibility requirements for all ASU Principal Investigators (PIs) and to state the reasons for such requirements

Sources

Knowledge Enterprise (KE)

Office for Research and Sponsored Projects Administration (ORSPA)

Background

External awards are made to ASU. ASU is accountable for meeting all sponsored project activity requirements. ASU has limited recourse for the actions of non-ASU employees. Therefore, to ensure accountability, all ASU principal investigators (PIs) must meet defined eligibility requirements.

Policy

Tenured faculty, tenure-track faculty, and nontenure-track faculty members (including research faculty members) are eligible to serve as principal investigator (PI) on a sponsored project. Other university employees and retired ASU faculty members may serve as PI with the approval of their authorizing department chair and college dean or equivalents (e.g., director or vice president). Authorizing officials confirm the eligibility of a PI when approving a proposal in ASU's Enterprise Research Administration System (ERA).

A non-ASU employee (e.g., student, postdoctoral appointee, adjunct or visiting faculty, or temporary employee) is ineligible to serve as PI. However, a sponsor's program guidelines may encourage or permit non-ASU employees and temporary employees to apply as PI for a specified program. In this case the sponsor's application form will indicate the non-ASU or temporary employee as the PI and list a PI-eligible university employee as an investigator. For internal ASU purposes, the eligible ASU PI would be shown as PI on all internal ASU forms and would be responsible for supervising project activities of the non-ASU or temporary employee investigator.

Procedure(s)

See ORSPA's website, https://researchadmin.asu.edu/resources/pi-eligibility/ for PI eligibility procedures.

Additional Information

For definitions of underlined terms, see the ORSPA Acronyms and Glossary webpage.

Cross-References

For general information, see RSP 101, "General Research Policy."

For additional information about the responsibilities of a PI after an award is funded, see RSP 103, "Principal Investigator Responsibilities."