

Principal and Co-Investigators Policy

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BACKGROUND

As an auxiliary of Humboldt State University (HSU), the Humboldt State University Sponsored Programs Foundation (HSU SPF) manages projects to advance the goals and mission of the University. For each project, it is necessary to identify an appropriate responsible individual to oversee the project to completion. Appropriate individuals must be accountable to the University and HSU SPF to assure that the contractual obligations of the sponsoring agent are met.

PURPOSE

This policy shall:

- Assist HSU SPF management in identifying those individuals who are eligible to serve as Principal Investigators (PIs) or Co-Principal Investigators (Co-PIs), for projects managed by HSU SPF;
- Comply with CSU system regulations;
- Identify the responsibilities of PIs and Co-PIs; and
- Empower HSU SPF management to take corrective action if necessary.

All grants and contracts shall have either a Humboldt State University or Sponsored Programs faculty or staff member (as defined below) serving as principal investigator on the project. The project proposal routing process shall be the mechanism by which HSU and HSU SPF recognize the appropriate PIs and/or Co-PIs.

DEFINITIONS

HSU SPF shall permit employees, other than student employees, in the following classifications to serve as **Principal Investigators** (PIs) on HSU SPF managed projects:

- HSU tenure or tenure-track faculty;
- Salaried directors of formally authorized institutes, centers, cooperatives, or auxiliaries appointed by and reporting to appropriate Humboldt State University administrators or academic department chairs; Full-time Administrators/MPP's.
- Persons who are officially affiliated with Humboldt State University through formal appointment as an emeritus faculty, visiting faculty, and research associates, with the formal written approval of their college or library dean. (This approval shall include specific provision for replacement of the Principal Investigator upon his or her resignation, incapacitation, or failure to perform the duties of the position.)
- An exception is made for adjunct professors who are full-time Federal employees that are housed on the campus under agency cooperative agreements.

HSU SPF shall permit employees, other than student employees, in the following classifications to serve as **Co-Principal Investigators** (Co-PIs) on HSU SPF managed projects:

- All of the above.
- Adjunct professors and Lecturers are allowed, with Chair and Dean approval, to be Co-PI's as long as their grant's period-of-performance falls within the professor's contract dates with the university and there is a Primary PI who meets the above criteria;

No other individuals may serve as Principal Investigators or Co-Principal Investigators.

ROLES AND RESPONSIBILITIES

The responsibilities of PIs and Co-PIs for sponsored programs shall be:

- Oversight for the development of the work plan (grant or contract proposal);
- Review and understanding of the requirements and regulations of the funder and application thereof to the development and implementation of the work plan;
- General non-technical budget and expenditure oversight and compliance with the fiscal regulations of HSU SPF and the funder;
- Supervision of personnel hired to work on the project and quality assurance of work performance and work products specified in the work plan; and
- Completion of all contractually required work products.

The distribution of responsibilities among co-principal investigators shall be clearly described in the contract or grant document. The distribution of responsibilities among PIs and Co-PIs for multi-institutional sponsored programs shall be clearly described in the contract or grant document. The project proposal routing process shall be the mechanism by which the University and the HSU SPF recognize the appropriate PIs and/or Co-PIs.

In the event of the resignation or incapacitation of the incumbent PI or Co-PIs, or the PI's or Co-PI's failure or refusal to perform the duties of the work plan for the sponsored program adequately in the judgment of the funder, HSU SPF management, in consultation with the PI's administrative supervisor and the funding agency, shall appoint a new PI or Co-PI to complete the project.

HSU SPF shall seek to recover funds paid to PIs and Co-PIs in the event that the work for which pay was received was not completed. Any exceptions to this policy must be approved in writing by the Dean for Research.

RELATED DOCUMENTS

HSU SPF Pre-Award, Post-Award and Compliance Desk Procedures related to PIs and Co-PIs.