

## **Principal Investigators and Project Directors Policy**

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### **POLICY BACKGROUND**

As an auxiliary of Humboldt State University, the HSU Sponsored Programs Foundation 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 the Sponsored Programs Foundation to assure that the contractual obligations of the University and Sponsored Programs Foundation to the sponsoring agent are met. The purposes of this policy are to:

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

### **POLICY**

All grants and contracts shall have either a full-time Humboldt State University or Sponsored Programs faculty or staff member who is at least a co-principal investigator on the project.

The Humboldt State University Sponsored Programs Foundation shall permit individuals in the following classifications to serve as Principal Investigators (PIs), Co-Principal Investigators (Co-PI's) and Project Directors (PDs) on HSU Sponsored Programs Foundation managed projects:

Humboldt State University employees, other than student employees, who are either:

- HSU 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;
- Persons who are officially affiliated with Humboldt State University through formal appointment as an emeritus faculty, visiting faculty, and faculty 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.)
- 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;
- An exception is made for adjunct professors who are full-time federal employees that are housed on the campus under agency cooperative agreements.



No other individuals may serve as Principal Investigators or Project Directors. In the event of the resignation or incapacitation of the incumbent PI or PD, or the PI's or PD's failure or refusal to perform the duties of the work plan for the sponsored program adequately in the judgment of the funder, HSU Sponsored Programs Foundation management, in consultation with the PI's administrative supervisor and the funding agency, shall appoint a new PI or PD to complete the project. Once the funding agency has approved the new PI, a HSU Sponsored Programs Foundation Award Modification Routing Form is completed and submitted to Pre-award for review. The approved Routing is given to the appropriate Grant Analyst who ensures a new signature card and conflict of interest statement is completed for the corresponding award(s).

HSU Sponsored Programs Foundation shall seek to recover funds paid to PIs and PDs 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.

The responsibilities of PIs and PDs 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 the Sponsored Programs Foundation 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 PDs 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 Foundation recognize the appropriate PIs and/or PDs.