

HUMBOLDT STATE UNIVERSITY SPONSORED PROGRAMS FOUNDATION

PRINCIPAL INVESTIGATORS AND PROJECT DIRECTORS POLICY

Name :

This policy shall be called the Principal Investigators and Project Directors Policy

Purpose :

The purposes of this policy are to:

1. Assist Foundation Management in identifying those individuals who are eligible to serve as Principal Investigators (PIs) and Project Directors (PDs) for sponsored projects managed by the Humboldt State University Sponsored Programs Foundation;
2. To comply with CSU system regulations;
3. To identify the responsibilities of PIs and PDs; and
4. To empower Foundation Management to take corrective action if necessary

Effective Date:

This policy will be effective November 20, 2003.

Amendments:

This policy may be amended by a majority vote of the Board of Directors.

Background and Purpose:

As an auxiliary of Humboldt State University, the HSU Sponsored Programs Foundation manages sponsored projects to advance the goals and mission of the University. For each sponsored 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 Foundation to assure that the contractual obligations of the University and Foundation to the sponsoring agent are met.

Policy Statement:

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

1. Humboldt State University employees other than student employees
2. Salaried directors of formally authorized institutes, centers, cooperatives, or auxiliaries appointed by and reporting to appropriate Humboldt State University administrators or academic department chairs
3. Persons who are officially affiliated with Humboldt State University through formal appointment as adjunct faculty, 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.

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, HSU 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. HSU 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.

The normal responsibilities of PIs and PDs for sponsored programs shall be:

1. Oversight for the development of the work plan (grant or contract proposal);
2. Review and understanding of the requirements and regulations of the funder and application thereof to the development and implementation of the work plan;

3. General non-technical budget and expenditure oversight and compliance with the fiscal regulations of the Foundation and the funder;
4. Supervision of personnel hired to work on the sponsored project and quality assurance of work performance and work products specified in the work plan; and
5. 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.

Recognition Process:

The project proposal routing process shall be the mechanism by which the University and the Foundation recognize the appropriate PIs and/or PDs.

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