



Office of Research & Sponsored Programs

Responsibilities and Qualifications of Principal Investigators

Purpose:

The Office of Research & Sponsored Programs (ORSP) 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 CSULB Research Foundation to assure that the contractual obligations of the sponsor are met. The purpose of this policy is to provide guidance as follows:

- Assist in identifying individuals who are eligible to serve as Principal Investigators (PIs), Co-Principal Investigators (Co-PI's), and Project Directors (PDs) for projects managed by ORSP;
- Comply with CSU system regulations;
- Identify the responsibilities of PIs and PDs; and
- Reassign PI's and/or Key Personnel when necessary

Policy Statement:

All grants and contracts shall have either a full-time CSU Long Beach faculty or staff member who is at least a co-principal investigator on the project. ORSP shall permit individuals in the following classifications to serve as Principal Investigators (PIs), Co-Principal Investigators (Co-PI's) and Project Directors (PDs) on sponsored grants or contracts:

- CSU Long Beach tenured and tenure-track faculty.
- Salaried directors of formally authorized institutes, centers, cooperatives, or auxiliaries appointed by and reporting to appropriate University administrators.
- Persons who are officially affiliated with CSU Long Beach by official appointment as an emeritus faculty, visiting faculty, or faculty research associates, with the formal written approval of their college 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 to be Co-PI's, with Chair and Dean approval, as long as the grant's period-of-performance falls within said professor's contract dates with the university and there is a Primary PI who meets the above criteria.

Reassignment of PI Responsibilities

In the event of the resignation or incapacitation of the incumbent PI or PD, or said incumbent's failure or refusal to perform the duties of the grant work plan adequately, appropriate administrative oversight will be initiated. The Associate Vice President for Research, in consultation with CSULB division executives (such as appropriate Center Directors, Department Chairs, and College Deans) and the Sr. Director of Research & Sponsored Programs, will be responsible for recommending an appropriate replacement and securing program sponsor approval as required.

PI Duties

While the PI coordinates the preparation of a grant proposal and application documents, The California State University, Long Beach Research Foundation officially submits documents to sponsors. Funded grants are awarded to the Research Foundation as the fiduciary/legal entity. The PI assumes primary oversight of personnel conduct and management of an awarded project. The Research Foundation is responsible for ensuring compliance with all aspects of the award. Some key oversight areas for a PI include, but are not limited to:

- **Technical/Programmatic** – The PI shall provide all deliverables required in the grant/contract as directed in an award, not deviating from the project's scope of work unless changes are agreed upon beforehand in writing by the sponsor; oversee the training, assignment, work and evaluation of students and other personnel participating in the project.
- **Logistical/Physical** – The PI must understand the grant/contract terms and conditions, including any special or unusual conditions; and assure that the contractual conditions are met; appropriately manage and utilize any space and instrumentation needed to complete the project; assure appropriate laboratory management.
- **Fiscal Control** – The PI must understand and exercise responsible fiscal control, ensuring that funds are spent appropriately as outlined in applicable regulations and within the sponsor and Research Foundation/University guidelines. If an anticipated continuation or preliminary award is not funded, the PI and cognizant department/college will have the primary responsibility for covering the cost of all over-expenditures or disallowances. This includes incurred over-expenditures and cost disallowances made during the project or after its conclusion.
- **Regulatory Compliance** – The PI will at all times assure regulatory compliance with policies such as Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Safety and Risk Management, Biosafety, Radiological Safety and others. Additionally, the PI will at all times assure compliance with all CSU, CSULB and CSULB Research Foundation policies and procedures, and all applicable federal, state and local laws and regulations.
- **Ethical Standards** – The PI shall conduct the project using the highest ethical standards following the policies relating to integrity in research and to declare any potential conflict

of interest for themselves or any individual involved with the project that falls within the University Conflict of Interest Policy.

- Reporting – The PI is responsible for completing all close out and intellectual property requirements of the University and the sponsor; including but not limited to all interim and final technical reports, submission of invention disclosures, satisfying subcontract/consortium contractual requirements and other reports as required.
- In instances where the CSULB Research Foundation is the prime recipient of a multi-institutional sponsored program, the PI shall bear the responsibility for ensuring compliance of all sub-recipients as described above.

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