

California State University, Long Beach Foundation

Executive Order 890

Responsibilities and Qualifications of Principal Investigators

Position

Principal Investigator (PI). All reference to PI herein shall also include the designation of Project Director.

Responsibilities

While the PI coordinates the preparation of the proposal and submission documents, proposals are officially submitted by California State University, Long Beach or California State University, Long Beach Foundation. Awards resulting from a proposal (with rare exceptions) are made to the California State University, Long Beach Foundation as the fiduciary/legal entity. Awards in support of research, instruction, or service are generally made because of the professional expertise and initiative of individual serving as PI. The PI assumes the primary responsibility for the proper conduct and management of the project resulting from an award. Some of the key areas of responsibility for a PI include, but are not limited to:

Technical/Programmatic – The PI shall provide all deliverables that are required in the grant/contract on a timely basis, not deviating from the scope of work for the project unless changes are agreed upon in writing by the sponsor; and overseeing the training, assignment, work and evaluation of students and other personnel working on 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; and appropriately manage and utilize any space and instrumentation needed to complete the project; and assure appropriate laboratory management.

Fiscal Control – The PI must understand and exercise responsible fiscal control, ensuring that funds are spent appropriately and within the sponsor and Foundation/university guidelines. **If an anticipated continuation or preliminary award is not funded, over-expenditures are incurred, or a cost disallowance is made, during the project or after its conclusion, the PI and cognizant department/college will have the primary responsibility for covering the cost of the over-expenditure or disallowance.** This requires a working knowledge of, for example, OMB A-21 and the Foundation grant accounting standards.

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 Foundation policies and procedures, and all 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 (CSULB Policies 91-02, 00-07) 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 Foundation 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.

Reassignment of PI Responsibilities

In the event that a PI is unable or unwilling to carry out the duties and responsibilities of the project, the Associate Vice President for Research, in consultation with CSULB division executives (such as appropriate Center Directors, Department Chairs, and College Deans) and the CSULB Foundation Director of Grants and Contracts, and Director of Human Resources, will be responsible for recommending an appropriate replacement, and for securing program sponsor approval as required. However, in the event that the CSULB Foundation is the PI's primary employer, the Foundation Executive Director will be responsible for recommending an appropriate replacement, and for securing program sponsor approval as required.

Qualifications

Eligibility to act as a PI is limited to those individuals who have a current legal employment relationship with either California State University, Long Beach, or the California State University, Long Beach Foundation. For projects under the oversight of an academic college, faculty PI members who subsequently become Emeriti Faculty may continue as a PI on an active project until the end of the funded project's duration. All other Emeriti Faculty, Adjunct Faculty and/or Volunteer Faculty may only serve in the capacity of PI on a project under the oversight of an academic college, with the approval of the College Dean. Further, each PI shall possess the necessary education and experience in a field appropriate to ensure the successful performance of the project. These qualifications shall be in addition to any PI qualifications imposed by the program sponsor. In instances where the 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 (see Responsibilities above).