Guidelines	Administrator and Principal Investigator Guidelines on Sponsored Projects
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DEFINITIONS & ELIGIBILITY

Administrators are defined as Management Personnel Plan (MPP) employees (university or auxiliary), deans, associate deans, and department chairs.

Principal Investigators (PIs) must be tenured or tenure-track faculty (assistant, associate, or full professors; librarians) or university administrators (MPPs). Emeritus faculty, lecturers, and adjunct faculty are eligible to serve as Co-PIs with the written approval of their department chair and college dean, and with an eligible faculty member or administrator serving as the lead PI on the project. In rare circumstances, full-time University Enterprises, Inc. (UEI) employees may serve as a PI with the written approval of UEI Executive Director and the Associate Vice President for Research, Innovation, and Economic Development.

Co-Principal Investigators (Co-PIs). Anyone eligible to be a PI is also eligible to be a Co-PI. Additionally, with chair and dean written approval, emeritus faculty, lecturers, and adjunct faculty are eligible to serve as Co-PIs.

Co-Investigators may include any administrator, faculty or staff member making a significant contribution scientifically or programmatically to a project. Collaborators from other institutions who do not hold an appointment at Sacramento State may be listed as Co-PIs or Co-Investigators if they serve as PI on the subaward, meet their organizations' eligibility criteria for serving in these roles, and conduct all designated project related activities through their home institution. Consultants do not typically meet the definition of an *investigator.*

Project Director (PD) means a University or UEI staff member with an active role in the administration and/or fiscal management of a sponsored project.

Sponsored Project means all work performed under Grants or Contracts funded by non-CSU funding sources (including non-CSU- funded Contracts and Grants that are subsequently subcontract to another campus). It does not include fellowship applications or applications to programs making awards to individuals.

ROLES & RESPONSIBILITIES

A. Administrator Roles & Responsibilities

Prior to submission of an external funding proposal,

- the **Dean** *(or designated Associate Dean)/Appropriate Administrator)* must certify via the campus Proposal Approval Form (PAF) that the proposal is consistent with the college or division goals and commits college or division resources where outlined in the proposal or contract, including space requirements.

- the **department chair/unit director** must certify via the campus Proposal Approval Form (PAF) that the proposed project is consistent with department goals and is not in conflict with assigned duties, and commits departmental resources where outlined in the proposal or contract.

Upon account set up of a grant or contract award administrators are provided account access and signature authority on items related to sponsored activity and discretionary funding in their division, college, or department. This includes but is not limited to:

- faculty and staff reimbursed time agreements,
- additional employment forms and time certifications, and
- travel or expense reimbursements.

Signature Authority: Administrator signatures may be required as an alternate signing authority 1) when a Principal Investigator/Co-PI/Project Director (PI/PD) is unavailable, or 2) as the university supervisor (one-up) of the PI/Co-PI/PD in accordance with award regulations and in a manner consistent with applicable government regulations and audit guidelines.

PI Separation or Approved Leave of Absence from University: In the event that a PI separates from the University or takes a leave of absence, the appropriate administrator must notify ORIED and UEI's Sponsored Programs Administration (SPA) office in writing, and work with ORIED and SPA to conclude all remaining project obligations and assist with any subsequent audits or reviews that may occur during or after the project ends.

PI Separation from a Sponsored Project: In the event that a PI fails to or cannot perform project deliverables or outcomes, the appropriate administration must notify ORIED and UEI Sponsored Programs Administration (SPA) in writing, and work with ORIED and SPA to identify a substitute PI and/or conclude all remaining project obligations and assist with any subsequent audits or reviews that may occur during or after the project ends.

B. Principal Investigator (PI) Roles & Responsibilities

The *Principal Investigator (PI)* is the individual responsible for the overall academic, technical, financial, administrative, and scientific/programmatic conduct of a project. PIs are responsible for day-to-day project management and accept responsibility for carrying out commitments as outlined in the proposal within the time limits and budgetary resources provided, and for complying with University, UEI, and funder policies and procedures related to the administration of funds and submission of narrative and/or technical reports. PIs may delegate spending authority and other fiscal and management related authority to Co-PIs and/or PDs; however, the PI has primary responsibility for all expenditures and project deliverables related to their sponsored project and related University Enterprises, Inc. (UEI) accounts.

PI Separation from Project and/or University: PI is responsible for notifying their appropriate administrator and UEI Sponsored Programs Administration (SPA) in writing if they are no longer able to perform the duties as PI or separate from or leave the university.

C. Co-Principal Investigator (Co-PI) Roles & Responsibilities

A Co-PI is typically recognized by a funding agency as an individual who shares the responsibility for the conduct of a project with the Principal Investigator (PI), including meeting the reporting requirements. A Co-PI may also be delegated spending authority and other financial and administrative management related authority on an award by the Principal Investigator, in accordance with UEI policy. Co-PIs are responsible for notifying the Principal Investigator if they are no longer able to perform the duties as Co-PI or if they separate from or leave the University.

D. Co-Investigators Roles & Responsibilities

Co-Investigators are individuals making a significant contribution scientifically or programmatically to a project, but whom have limited or no fiscal or operational authority for the project.

E. Project Director (PD) Roles & Responsibilities

Project Directors serve under the direction of a Principal Investigator, and with the concurrence of the appropriate college dean. Except in very rare circumstances, individuals designated as consultants, or those working in a consultant capacity, may not serve as Project Directors or fulfill the role of a Project Director.

POLICY REFERENCES

- **ICSUAM 11000:** https://calstate.policystat.com/

- **Campus Policy on the Administration of Sponsored Projects at Sacramento State (ACA-152):** https://www.csus.edu/umanual/acadaff/aca-152.htm