

California State Polytechnic University, Pomona

Academic Senate Report

AS-2346-910/FA

REVIEW OF INTERIM POLICY REGARDING APPOINTMENT OF PRINCIPAL  
INVESTIGATORS

Academic Senate Action:

Unanimously Adopted: 4/14/10

Final Disposition:

Transmitted to President: 4/20/10

**RECOMMENDATION:**

The Academic Senate recommends that the President's interim policy be adopted as follows.

### **Minimum Qualifications of Principal Investigator(s) for Sponsored Programs**

In addition to the qualifications of a Principal Investigator (PI) as identified in Executive Order No. 890, Cal Poly Pomona recognizes an exception for individuals that are not employees of the University. Any individual who is officially affiliated with the university, e.g., individuals with *emeritus* status, visiting professors, visiting researchers, or faculty participants in the faculty early retirement program (FERP) who have exhausted their entitlements, may be eligible for PI status under the following provisions and conditions:

1. The department chair and dean must recommend principal investigator status of the individual and forward that recommendation to the AVP for Research for review and approval.
2. The chair and dean shall be required to assume the same responsibilities for any PI named under this limited exception as they would for a PI that was a faculty member reporting to them.
3. In those cases in which the principal investigator is not an active full-time faculty or staff member, a co-investigator may be required who is a university employee, with responsibility for fiscal matters.
4. Should an incumbent Principal Investigator under this provision resign, become incapacitated, or fail or refuse to perform their duties adequately, the chair and dean, in consultation with the AVP for Research and the funding agency, as appropriate, shall agree upon a substitute PI and shall reassign those responsibilities.
5. Other exceptions may also be granted on a case-by-case basis, by the Provost on behalf of the President.