ORP Policy 5

Policy on Principal Investigator and Co-Principal Investigator

The Principal Investigator ("PI") designation indicates the single person responsible for managing the overall technical and financial aspects of a sponsored program in compliance with the terms and conditions of the award. The PI ensures that the work is carried out in accordance with the accepted statement of work and in conjunction with the policies and conditions of SUNY-ESF and the Research Foundation. The Office of Research Programs, Business Office, and Human Resources Office will provide assistance and support. Management responsibilities of the PI include:

1. Knowledge of the sponsor’s regulations as well as the terms and conditions governing the program and the award.

2. Ensuring and supporting compliance with all applicable Award terms and conditions as well as applicable policies and regulations during conduct of the sponsored research, including export controls.

3. Overseeing staffing and performance of the project.

4. Authorizing expenditures within the limits of the approved budget for personnel, goods and services which directly benefit the project and program. CoPIs also have the authority to authorize expenditures within the same limits.

5. Ensuring timely submission of required reports to the sponsor.

6. Ensuring timely reports to the Research Foundation Office of Technology Transfer as appropriate.

7. Maintaining the office of record for the technical portion of the project with complete records for six years upon termination of the award.

One or more Co-Principal Investigators (Co-PI) may be named on the grant or contract. The Co-PI is responsible for a subcomponent of the overall project and, in the absence of the PI (e.g., sabbatical, university travel, illness), may take on the responsibilities of the PI that are time sensitive.

Principal Investigators on grants and contracts must be at least half-time, permanent professional employees of SUNY-ESF. This includes Assistant, Associate and Full Professor, Research Associate, Librarian and Associate Librarian. Adjunct or visiting faculty may not serve as Principal Investigators unless the individual is a full-time employee of a cooperating agency and is in residence at SUNY-ESF in conjunction with an active Cooperative/Joint Venture Agreement or MOU (e.g., USGS). Post-doctoral fellows, Adjunct Faculty, Research Scientists (RF), and Emeriti may serve as Co-Principal Investigators in conjunction with a Principal Investigator in residence at ESF.

Graduate students and Post-Doctoral Associates may serve as the application PI when seeking fellowships, dissertation support, or other programs specifically designating this arrangement. In these cases, a regular faculty member must be named as the Campus PI, who is responsible for seeing that the terms of the grant or contract are fulfilled.

Exceptions to this policy may be sought by petition to the Office of Research Programs through the unit Chair. The Vice President for Research, in conjunction with the appropriate Chair or Director, may grant exceptions where they advance the College’s research program. Issues to be considered in these cases may include availability of space and equipment, risk of default, and contribution to the College mission.