

## Provisional Co-Principal Investigator/Co-Investigator/ Co-Project Director Eligibility Guidelines

### Provisional Co-Principal Investigator/Co-Investigator/Co-Project Director Eligibility

The following are the circumstances under which someone may be considered for Co-PI/Co-I/Co-PD (hereafter Co-PI) status on a grant or contract where there is a CSUSM PI.

- A Visiting Faculty or Post-doctoral Scholar (with temporary appointment) may serve as Co-PI for a proposed project, provided that the primary PI is a full-time faculty member or Academic Administrator (as defined above) and the funding agency allows such. Note: Prior approvals are required on the ***Provisional Co-Principal Investigator/Co-Investigator/Co-Project Director Approval Form*** (see following page)
- Others seeking to affiliate with CSUSM may apply for Provisional Co-PI status. The individual must have a collaborating CSUSM PI, and the support and recommendation of the relevant Department Chair/Center Director and College Dean/Dean Graduate Studies and Research. The Dean of Graduate Studies and Research shall review all applications and make recommendations to the Provost and Vice President for Academic Affairs. The ***Provisional Co-Principal Investigator/Co-Investigator/Co-Project Director Approval Form*** should be submitted along with the documents described in ***Procedures for individuals applying for provisional Co-PI status (follows form)***. Provisional Co-PI status (Co-PI status) shall be for one year, and continuation is subject to review procedures. **If the individual intends to collaborate with a CSUSM PI to submit a proposal, provisional Co-PI status must be approved before the proposal is submitted to the sponsor. Granting of provisional Co-PI status does not imply that a proposal will be submitted by Grants and Contracts Development if it is not approved through the normal proposal routing process.**

## Provisional Co-Principal Investigator/Co-Investigator/ Co-Project Director Approval Form

Name: \_\_\_\_\_ Current Position/Title \_\_\_\_\_

CSUSM PI for the Submission: \_\_\_\_\_ Department/Unit/Center: \_\_\_\_\_

College (if relevant): \_\_\_\_\_ Funding Agency (Sponsor): \_\_\_\_\_

Program Solicitation Name, as applicable (e.g. NSF IUSE, NIH R15 etc.):

\_\_\_\_\_

**Please complete if this request is for an existing project/award:**

Award number: \_\_\_\_\_

OSP Project Number: \_\_\_\_\_

Project Period: \_\_\_\_\_

**ACKNOWLEDGEMENT:** If the affiliation is granted to the Co-PI, he/she/they will need to follow University policies for research as well as CSUSM Corporation policies pertaining to sponsored projects and human resources.

By signing below, the Co-PI certifies that he/she/they, have read the following: *CSUSM Corporation Employee Handbook*, *CSUSM Corporation Sponsored Projects Administration Handbook*, and the *CSUSM Corporation Conflict of Interest Policy and Procedure*. The Co-PI will agree to the *Co-PI/Co-I/Co-PD Assurances* in the proposal approval process.

\_\_\_\_\_ Date

Co-PI seeking affiliation

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**APPROVALS:** The above-named individual may serve as CO-PRINCIPAL INVESTIGATOR/CO-INVESTIGATOR/CO-PROJECT DIRECTOR for the proposed project.

\_\_\_\_\_ Date

PI for submission

\_\_\_\_\_ Date

Department Chair/Center Director

\_\_\_\_\_ Date

College Dean/Dean OGSR

\_\_\_\_\_ Date

Dean of Graduate Studies and Research

## Procedures for individuals applying for provisional Co-PI/Co-I/Co-PD status

### ***I. Application Process***

#### **A. Applicant**

The following documents should be completed by the applicant for submission.

1. A letter of application (maximum 2 pages) that shall include the following:
  - a. Summary of current research or scholarly work. The description should address both specific aims and broader impacts.
  - b. Description of how the work relates to the strategic mission of CSUSM and how it serves faculty and students. Address proposed division of responsibilities with CSUSM PI.
  - c. Previous experience with funding applications, and previous funding received, if applicable.
  - d. List readiness to apply for external funding, e.g. funding opportunities that have been identified and submission deadlines.
  - e. Readiness to administer a sponsored program. This should include professional training and qualifications, experience in managing compliance and financial issues related to sponsored programs, and experience supervising staff and postdoctoral researchers.
  - f. Any required resources, including space (office, lab), computing resources, personnel related to the proposed projects, etc.
2. Certification on the ***Co-PI/Co-I/Co-PD Assurances*** form.
3. A current curriculum vitae (CV)

The applicant shall provide the letter of application, ***Provisional Co-Principal Investigator/Co-Investigator/Co-Project Director Approval Form*** (signed by the applicant), ***Co-PI/Co-I/Co-PD Assurances***, and current CV to the Department Chair.

#### **B. Department Chair/Center Director**

1. Review application materials.
2. If the Chair/Center Director supports the application, the Chair/Center Director shall forward all materials to the College Dean or Dean of Graduate Studies and Research in case of Centers.

#### **C. College Dean (or Dean of Graduate Studies and Research in case of Centers)**

1. Review application materials.
2. If the Dean supports the application, Dean shall prepare a letter of support. The letter of support shall include:
  - a. A description of how Co-PI status for the applicant would assist the college in meeting its goals and objectives, as related to the strategic mission of the University.
  - b. A description of the resources that the college and other units on campus will provide in support of the applicant.
  - c. An acknowledgment that the college will employ the Co-PI, if approved. Dean shall specify the job classification, salary rate and supervisor of the applicant.
3. The Dean shall forward all applicant materials and letter of support to the Dean of Graduate Studies and Research.

#### D. Dean of Graduate Studies and Research

1. The OGSR Dean shall review all materials provided by the applicant and Dean.
2. The OGSR Dean shall make a recommendation to the Provost and should consider the following options:
  - a. Approve for a specific sponsored program or for a specific time period (up to 2 years)
  - b. Approve subject to specific conditions (e.g. involvement of tenured faculty member with experience in grant and contract administration)
  - c. Defer decision with a request for additional information (e.g., if file is incomplete)
  - d. Disapprove (with explanation)

#### E. Provost

1. Review and consider the Dean's and the OGSR Dean's recommendations and either accept, request consultation with the OGSR Dean, or reject the application. Prior to formally rejecting a recommendation, the Provost will consult with the college Dean to discuss the reasons for considering the rejection and give the college Dean the opportunity to provide additional information on behalf of the applicant.
2. After all discussions have occurred, the Provost will issue a final written response to the OGSR Dean.

#### F. College Dean's Office

1. College will request that the Provisional Co-PI complete the ***CSUSM Corporation Volunteer Application and Appointment Form***. OGSR will fund the background check at this stage.
2. If the proposal is funded, the College will submit a request for an appointment letter from CSUSM Corporation and will provide the job description, classification, and Provost acceptance.
3. College will submit the ***Employment Authorization Requisition*** and ***Employment Authorization Form*** to CSUSM Corporation.

## II. Procedures for Continuation as Provisional Co-PI

#### A. Annual Report

1. **Applicant** - Continuation as a Co-PI will be based on an annual report from the Co-PI summarizing their activities. The report should consist of a short narrative of results and accomplishments and a list of publications, presentations, grant applications submitted and funded. This report should be sent to the Dean.
2. **College Dean and OGSR Dean** - The OGSR Dean and College Dean shall review the report and discuss the Co-PI's ability to manage responsibly the programmatic and administrative responsibilities of their sponsored programs. If there are concerns, then a formal review (see below) should take place. Otherwise, a formal review of the Co-PI status should take place every year. These reviews are not a substitution for the reviews required for lecturers performed by the department for teaching or other assigned responsibilities.

#### B. Annual Formal Review

The formal review for continuation of PI status will take place every year.

1. **Applicant -**
  - a. Applicant will provide a report to the appropriate college Dean summarizing their activities as a Co-PI at CSUSM. This should include a statement of how those activities have supported the University's mission. The report should illustrate competence in managing external funding.
  
  - b. The report should be forwarded to the OGSR Dean along with supporting letters from the Dean of the appropriate college.
2. **OGSR Dean** - OGSR Dean will make a recommendation to the Provost for continuation or termination of the Provisional Co-PI status.
3. **Provost** - The Provost will issue a final written response to the OGSR Dean and the college Dean.

*Adapted from policies developed by San Francisco State University, CSU Fullerton, and CSU East Bay*