

California State University, Fresno

California State University, Fresno Foundation

PRINCIPAL INVESTIGATOR HANDBOOK

SECTION I

INTRODUCTION

Updated: January 18, 2008

Table of Contents

I - INTRODUCTION	I-1
FROM THE PROVOST AND VICE PRESIDENT OF ACADEMIC AFFAIRS.....	I-1
PURPOSE.....	I-3
GOVERNING POLICIES AND REGULATIONS	I-3

I - INTRODUCTION

From the Provost and Vice President of Academic Affairs



CALIFORNIA
STATE
UNIVERSITY,
FRESNO

DATE: March 2007
TO: Principal Investigators at California State University, Fresno
FROM: Dr. Jeri Echeverria *J. Echeverria*
Provost and Vice President for Academic Affairs
SUBJECT: Principal Investigator Handbook

Thank you for serving as a Principal Investigator (PI) at California State University, Fresno. As you know, our Office of Research and Sponsored Programs (ORSP) and our university Foundation serve as primary facilitator and recipient for hundreds of sponsored programs, representing tens of millions of dollars in research and training activity for our university.

The *Plan for Excellence III: 2006-2011* calls for an exciting and dramatic increase in the level of our sponsored program activities. In addition to contributing to us being an Engaged University, the expansion of sponsored programs is a key component to our university's role as the leading research institution in our region.

The university's Office of Research and Sponsored Programs exists to assist you and your department in working with program sponsors in identifying, proposing, and receiving your awards. Once awarded, our Foundation Financial Services personnel are available to coordinate with you and your sponsor's program staff to assure that program expenditures are made in accordance with award guidelines. More than ever, it is critical that all program expenditures are made and documented in accordance with strict federal guidelines. I have asked ORSP and Foundation Financial Services personnel to work with you to assure compliance with program requirements and guidelines, knowing that disallowances resulting from negative audits and program reviews can jeopardize the financial stability of your school or college and our university.

The Grants and Research Advisory Board, affectionately known as GRAB, is an active advisory board whose purpose is to advise the university and the Provost on the policies, practices and implementation of grant and research activity on our campus. It meets regularly and has guided many of the recent revisions and activities of both ORSP and Foundation Financial Services. I am pleased to work with the dedicated members of this group in the effort to expand and enhance research in our university community. On the following page, I have listed the members of the Board.

Office of the Provost
and Vice President
for Academic Affairs

5241 N. Maple Avenue MS T454
Fresno, CA 93740-8027

559.278.2636
Fax 559.278.7987

THE CALIFORNIA STATE UNIVERSITY

Principal Investigators
Page 2
March 2007

Provost & Vice President for Academic Affairs
Vice President for Administration
Dean of Graduate Studies
Two Academic Deans

Two Faculty Members Appointed by Senate

Two Faculty Members Appointed by Provost

Associate VP for Research & Sponsored Programs
(*ex officio*)

Executive Director of Auxiliary Services
(*ex officio*)

Student Affairs Member

At Large Member

Associate Provost, Academic Affairs

Jeri Echeverria

Cindy Matson

Dianne Dickerson

Charles Boyer

Ben Cuellar

John Capitman

Alejandro Calderon

Ram Nunna

Hye Ok Park

Thomas McClanahan

Debbie Astone

Robert Hernandez

David Zoldoske

Kenneth Shipley

We offer you this PI Handbook to serve as a resource to you as you manage your award and prepare for new ones. It is a living document, and will be updated frequently. I request that you play an active role in keeping yourself well informed regarding PI trainings and updates or amendments in our policies, procedures and guidelines. These efforts will assist us in assuring that our sponsored program activities are fully compliant.

Thank you again for your commitment to our university's research activities.

JE:nlp

Purpose

The Principal Investigator (PI) Handbook is to inform PIs/Project Directors and their staff about University and Foundation policies, procedures, and resources available for their sponsored programs through the collaborative efforts of the Office of Research and Sponsored Programs (ORSP) and Foundation Financial Services.

This Handbook covers the policies and procedures that primarily affect sponsored programs and is meant to assist with offering general guidelines and information only. For more details not covered in this handbook, PIs/Project Directors and staff are encouraged to contact the Office of Research and Sponsored Programs for questions related to pre-award procedures and grant accounting staff for post-award procedures.

The Foundation and the University reserves the right to change any of the policies and procedures included in this handbook at any time. The Handbook is not intended to become a contract in any way of its employees, PIs/Project Directors, or project staff. Future revisions to Foundation policies and procedures regarding sponsored projects will be made available as the revisions are adopted.

This Handbook will be reviewed annually by ORSP and Foundation staff.

Recommendations will be reviewed by the Grants and Research Advisory Board (GRAB). Any material changes will be communicated to Project Directors on the Listserve email system and included during any annual training sessions offered by ORSP and/or the Foundation.

Recommendations/additions to the Handbook can be communicated via the Web site email [\(pending Foundation Web link\)](#) comment section found on the Foundation Web site at <http://www.auxiliary.com/Foundation/index.shtml>.

Governing Policies and Regulations

The policies of the California State University (CSU) and our campus governing the conduct of research and sponsored projects are contained within Executive Order 890 and our Academic Policy Manual (APM 500). This Handbook is intended to add context and define processes for compliance with EO 890 and the APM.

California State University's, Fresno Academic Policy Manual (APM 500) outlines the policy and practices for research and sponsored project administration in compliance with EO 890. This Handbook incorporates federal and state regulations, University, and Foundation/Auxiliary policies. In the event the sponsor or funding agency has a more restrictive policy than the policies referenced or developed in this handbook, the more restrictive policies will apply.