

Case Western Reserve University

Principal Investigator/Project Director Policy Statement June 1, 2005

The Principal Investigator or Project Director is the individual, designated by the university, who will assume overall responsibility for the scientific and/or technical aspects and the day-to-day management of the project or program. This individual can be a Case faculty member, employee or student as long as his or her designation as the Principal Investigator or Project Director has been reviewed and approved by the department and school/college. However, in certain circumstances, an individual who is not a Case faculty member, employee or student may be a Principal Investigator or Project Director provided that 1) the department chair and Dean has reviewed and approved this designation; 2) there is a formal written agreement between the individual and Case that specifies an official relationship between the parties and the individual's obligations to comply with federal and state law and regulations and all applicable university policies, including the Faculty Handbook and/or HR Policies & Procedures, as applicable; and 3) as applicable, the relationship has been reviewed and approved by the sponsoring entity. Principal Investigators or Project Directors who are retired as faculty or staff from Case are subject to the following requirements: (1) they must work less than 18.75 hours per week in any work (research-related or otherwise) on behalf of and compensated by the university, and (2) they must have a 30-day break in service between their retirement date and the date they commence work on behalf of and compensated by the university.

It is understood that the Principal Investigator or Project Director will be primarily responsible, along with the university, for ensuring compliance with the financial and administrative aspects of the award. This individual will work closely with designated officials within the university to create and maintain necessary documentation, including both technical and administrative reports; prepare justifications; appropriately acknowledge sponsor's support of research findings in publications, announcements, news programs, and other media; and ensure compliance with sponsor and university requirements. Case expects that a Principal Investigator or Project Director understands the ethical responsibilities related to the conduct of all research, which includes, but is not limited to, any issues related to human subject protections, animal welfare, data integrity, conflict of interest, and scientific misconduct. The Principal Investigator or Project Director agrees to cooperate with the university in any instances where such issues require investigation. The Principal Investigator or Project Director, as an individual designated to oversee Case-related research, agrees to comply with all federal and state laws and regulations and all applicable university policies, including the Faculty Handbook and/or Human Resources Policies & Procedures, as applicable. Case encourages the Principal Investigator or Project Director to maintain contact with the program officials from the sponsor with respect to the scientific or technical aspects of the project. Contact with the sponsor's grants management or contracting officers concerning the business and administrative aspects of the award is also encouraged as long as it is coordinated by designated officials within the university.