



Policy Name	Principal Investigator/Project Director Post-Award Responsibilities
Policy Number	12000.016
Effective Date	May 23, 2017
Administrative Division	Division of Research and Federal Relations
Unit	Sponsored Programs
Revised Date	<a href="#">Click here to enter text.</a>

## 1.0 Policy Statement

The Principal Investigator/Project Director is the primary individual in charge of all programmatic and financial aspects of the externally sponsored project. As such, these individuals have the responsibility of ensuring that the management of all grants, contracts and cooperative agreements are in accordance with the requirements of the sponsor and university, federal and state regulations.

## 2.0 Purpose

This policy outlines the post award duties and responsibilities of individuals identified as the Principal Investigator/Project Director and Co-Principal Investigator.

## 3.0 Definitions

- 3.1 Principal Investigator/Project Director – Individual primarily responsible for the scientific, technical, administrative and financial activity for externally funded projects.
- 3.2 Co-Principal Investigator – Individual who shares or assumes responsibility for the scientific, technical, administrative and financial activity for externally funded projects or leads on a sub-project contained in the larger proposed project.

## 4.0 Additional Information

### 4.1 The roles and responsibilities for a Principal Investigator/Project Director are to:

- Manage and complete the scientific and programmatic aspects of the sponsored project in accordance with the terms and conditions of the sponsor.
- Initiate programmatic changes to the project and seek approval from the sponsor via request to the Unit of Sponsored Programs (USP) when required.
- Initiate the hiring process and approve the selection or appointment of individuals to the project pursuant to University policy and procedures.
- Sign and certify time and effort reports for employee activities related to the project in accordance with the University's policy and procedure.
- Ensure proper management of all inventory purchased with project funds.
- Monitor and certify spending and revision to budgets quarterly according to terms of the award to ensure accuracy of expenditures.
- Submit requests for no cost extensions through USP.
- Complete and submit all tasks and reports for the proper close out of the project.

- Ensure the integrity and safeguarding of notebooks and scientific data.
- Ensure the completion, accuracy and timeliness of programmatic (technical) reports.
- Prepare the final programmatic (technical) report, which may include contributions by subrecipients or collaborators.
- Initiate requests for subrecipient agreements and monitor subrecipient activity.
- Ensure the quality, timeliness, and programmatic (technical) performance of subrecipients.
- Review all subrecipient invoices to determine accuracy of billing and performance.
- Initiate any materials transfer agreement with the Unit of Technology Transfer, Licensing and Commercialization (TTLC) when using or providing materials to or from another source.
- Disclose any intellectual property and publications derived from federal funding to TTLC.
- Submit Patent/Invention Disclosure Reports to the TTLC according to the terms and agreement of award and University policy.
- Adhere to the principles and procedures outlined in the University's Responsible Conduct of Research, Intellectual Property, Conflict of Interest and Commitment and Financial Conflict of Interest policies.

## 5.0 Employee Adherence

Employees are required to adhere to these guidelines. Willful disregard of this policy shall be considered non-compliance and may result in a formal reprimand up to and including termination. The information stated in this policy pertains and applies to applicable employees, departments and funding sources of the University.