



Policy Name	Principal Investigator/Project Director Pre-Award Responsibilities
Policy Number	12000.013
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 all proposal submissions are in accordance with the requirements of the solicitation and university, federal and state regulations.

## 2.0 Purpose

This policy outlines the pre-award requirements, duties and responsibilities of individuals identified as Principal Investigator/Project Director.

## 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 of a Principal Investigator/Project Director are to:

- Prepare the proposal and, if applicable, may collaborate with others in its preparation.
- Prepare or supervise the preparation of the budget and its justification and submit to Unit of Sponsored Programs (USP) for review and approval.
- Request matching funds from University officials or identify in-kind contributions from appropriate sources, when necessary.
- Propose cost-sharing through contributed effort or other approved mechanisms and seek appropriate University approval.
- Identify and notify USP of the need for subrecipient agreements within the timeframe specified by proposal submission policy.
- Prepare the appropriate forms (either at proposal submission time or “Just In Time” in accordance with sponsor requirements) for the University Human Subjects Committee (IRB), Animal Care Committee (IACUC), the Radiation Safety Committee and/or Safety and Environmental Health Unit as appropriate, if the proposal involves:
  - human subjects;
  - live animals as subjects;

- recombinant DNA, infectious agents, narcotics or biological toxins;
  - human blood or body fluids;
  - radioactive materials and/or ionizing or non-ionizing radiation-producing equipment;
  - hazardous materials; or
  - Protected Health Information (PHI).
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- Ensure timely submission of all proposal documents to USP in accordance with the University's Internal Deadlines for Proposal Submission policy and all other applicable state and federal regulations defined in the solicitation.
  
  - Adhere to the principles and policies of 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.