

The Role of a Principal Investigator in Sponsored Funding

Jim Bloedel

**Vice Provost for Research
and Advanced Studies**

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1. Oversight of Sponsored Funding: It's an Issue of Responsibility

- Responsibility for project integrity
- Responsibility for project design
- Responsibility for project compliance
- Responsibility for project conduct
- Responsibility for project personnel
- Responsibility for project analysis
- Responsibility for project presentation

2. PI Responsibilities: Pre-award

- Make sure all compliance issues are addressed – human subjects, animals, biohazards, radiological materials.
- Determine budget and ensure all subcontracts, confidentiality agreements, material transfer agreements have been formulated and approved and that university rules have been followed.
- Resolve any conflict of interest.
- Ensure high quality of grant preparation while meeting all requirements of sponsor.
- Prepare all information required on Gold Sheet.
- Submit on time!

3. PI Responsibilities: Post-award

- Ensure all compliance issues are met.
- Maintain research integrity, including the management of all potential conflicts of interest.
- Maintain quality, accurate records.
- Maintain budget and operate it within federal and university guidelines.
- Supervise personnel and provide necessary input to all students and postdocs.
- Acquire and manage equipment.
- Disclose and subsequently manage all intellectual property.
- Fulfill all reporting requirements.
- Analyze and publish findings.

4. PI Eligibility

- Based on the assumption that the PI has sufficient experience for the responsible management of a sponsored project.
- Responsibility requires a background that includes knowledge of all the issues and areas mentioned above.
- May require that prospective PI's in non-faculty positions receive necessary training within their units if there are deficiencies in specific areas.
- Office of the VP for Research sponsors events and lectures throughout the year that provide opportunities to learn these guidelines.

5. PI Eligibility for P & S Employees

- Rules are consistent with the HR classification system – descriptions of research positions at P17 or higher contain language about serving as PIs. Some collaborators, affiliates and adjunct faculty members may also be eligible.
- P & S employees at P16 or lower who also hold adjunct faculty positions are automatically eligible to serve as PIs.

6. PI Eligibility: P16 and below

- Waiver is required.
- Waiver for a research grant-supported project requires a Ph.D. degree with publications in refereed journals and post-degree experience OR a master's degree with extensive record of independent scholarship in refereed journals. Evidence of experience in grants management is also expected.
- Those seeking a waiver for a non-research grant-supported project (i.e., public service, instruction, extension) are expected to have experience in grants management.

7. Seeking a Waiver

- A letter is required from the Chair or Director to the Vice Provost for Research and Advanced Studies.
- CV is required.
- The Chair's letter and request from the prospective PI should present evidence that all qualifications relative to the responsibilities outlined above are met.
- Evaluation is positive if it is apparent that the individual making the request has the necessary background.