

Wright State University Principal Investigator/Project Director (PI/PD) Responsibilities*

The University is, ultimately, legally and financially responsible and accountable to the sponsor for the performance of the activity funded and the proper use of funds. However, without the full cooperation and vigilance of the PI/PD, the University would fail its stewardship role. In the truest sense, therefore, the sponsored programs process is a joint effort between the PI/PD and the University; both must do their part well in order to achieve success.

Who is the PI/PD? This is the individual designated by the University, and approved by the sponsor, who will be responsible for the overall scientific or technical direction of the sponsored project. The PI/PD responsibilities may be divided into two related but distinctly different sets of activities: those activities involving the management of the work of the project and those involving the responsible expenditure of project funds. While the work of the project should drive the financial activities, sound management practices in both arenas are required. The financial stewardship of funds provided by external sponsors is a shared responsibility with other areas of the university, among them the Office of Research and Sponsored Programs (RSP) and the PI/PD's department.

PI/PD Responsibilities:

1. The PI/PD is responsible for all actions required to manage and complete the scientific and programmatic aspects of the sponsored project.
2. The PI/PD is responsible for reviewing the notice of award including all terms and conditions and should contact RSP about any discrepancies or questions on reporting requirements and other deliverables if the information is not clear.
3. The PI/PD must comply with the terms and conditions of a sponsor's award, including any "special" or sponsor-specific conditions that may be imposed by the funding agency.
4. The PI/PD must ensure that project funds are managed efficiently and effectively within approved budgets, including initiating forms for expenses that are necessary for the conduct of the sponsored project in a timely basis. Total expenditures may not exceed the available balance or be incurred after the end date of the sponsored project. The PI/PD must coordinate requests for budget revisions and no-cost extensions with RSP.
5. The PI/PD is responsible for reviewing the accounting information available in WINGS Express on at least a monthly basis to ensure that all charges and credits are appropriate and consistent with the terms of the contract or grant represented by the account. Correction of any errors uncovered during the review of accounting information should be made in a timely basis.
6. The PI/PD initiates hiring or assignment processes and approves the selection or appointment of individuals to the project consistent with the statement of work (or other proposed research plan) and budget of the project.
7. The PI/PD will work diligently to maintain open lines of communication among the members of the research team and assumes responsibility for developing and implementing appropriate corrective action plans, as the need arises to reach a successful conclusion of the project. The PI/PD will make decisions on changes in appointments, staffing, funding and research direction as the PI/PD is responsible for the final results of the project. However, if a desired change calls for the reduction or increase in effort, the addition to or elimination of a Wright State faculty member from a project or a

significant reduction of funding for a WSU faculty member, RSP will first contact all WSU faculty on the project and inform the appropriate department chair(s) and dean(s). The reason for the change will be given in writing and the agency will be informed only after it is demonstrated that all have received the information. If the affected WSU faculty member wishes to respond before the action is implemented, the Provost's office will be engaged in the process should dispute resolution be required.

8. The PI/PD ensures the integrity of laboratory notebooks and scientific data.
9. The PI/PD ensures the completion, accuracy and timeliness of interim and final programmatic (technical) reports and works with RSP on the timely submission of other required reports; e.g., patent reports.
10. The PI/PD contacts RSP to begin initiation of sponsor-approved subcontracts and ensures the quality, timeliness, and programmatic (technical) performance of subcontractors. The PI/PD will be asked to review and approve invoices submitted by subcontractors.
11. In the cases of projects that require submission of invoices upon completion of tasks, the PI/PD is responsible for contacting RSP to initiate invoicing.
12. The PI/PD agrees to abide by current university policies on the use of human subjects, vertebrate animals, radioactive material, radiation producing devices or biohazards; e.g., recombinant DNA.
13. The PI/PD is responsible for reviewing the "Research Conflict of Interest and Financial Disclosure Policy" in the Wright Way Online, policy no. 1107 and abiding by the disclosure and management requirements.
14. If an agency requires Responsible Conduct of Research (RCR) training for project staff, the PI/PD is responsible for the training of his/her employees and for monitoring the completion of RCR training for any subcontractors.
15. The PI/PD is responsible for reviewing the "Administrative Procedures for Allegations of Research Misconduct" in the Wright Way Online, policy no. 2101.
16. The PI/PD must notify RSP of the absence for more than three months, or a 25% reduction in time devoted to the project, or an increase in effort of the approved PI/PD or the addition or elimination of key personnel.
17. The PI/PD must document the amount of effort expended on external awards on the quarterly A-21 Effort Reports.

*With permission, Wright State University has used the sound guidance from the University of Toledo as a foundation for identifying some of the rights and responsibilities of its PIs/PDs. See:

http://www.utoledo.edu/policies/academic/research/pdfs/3364_70_22_PI_PD_Responsibilities.pdf