

## **80.10 Principal Investigator Responsibilities**

<b>Approval Authority:</b>	<b>Cabinet</b>
<b>Responsible Executive(s):</b>	<b>Provost and Vice President for Academic Affairs CFO, Vice President for Finance and Treasurer</b>
<b>Responsible Office(s):</b>	<b>Office of Sponsored Programs Office of Sponsored Accounting and Cost Analysis</b>
<b>Effective Date:</b>	<b>March 20, 2018</b>

### **I. Purpose of this Policy**

As the recipient of funding from federal, state and other sponsors in support of research, instruction and other activities awarded through grants, contracts and cooperative agreements (“Sponsored Projects”), Stevens is required to comply with federal and state regulations and sponsor requirements. This Policy confirms the University’s commitment to compliance with the federal and state regulations and sponsor requirements regarding management of research awards, and sets out the responsibilities of principal investigators (“PI”) for oversight and administration of their Sponsored Projects.

### **II. Definitions**

Principal Investigator: The University employee designated to be responsible for the design, conduct and reporting of research on a Sponsored Project. The PI must have the appropriate scientific and/or scholarly training and expertise to assume direct responsibility for the ethical conduct of the Sponsored Project, providing technical and administrative oversight of the research and making study-related decisions.

### **III. Policy**

The Principal Investigator is responsible for working with OSP to ensure that the conduct of a Sponsored Project is consistent with federal and state law, regulations, sponsor requirements and University policies. The PI is responsible for proper management of the goals and performance objectives of the Sponsored Project, including but not limited to the following:

- A. responsible fiscal management of the Project;
- B. adherence to accepted cost principles;
- C. correct sourcing of expenditures;
- D. awareness and monitoring of the award terms and conditions;
- E. understanding and complying with relevant University policies applicable to Sponsored Projects, including but not limited to:
  - i. Policy 10.4 “Policy on Research Misconduct;

- ii. Policy 10.3. “Conflict of Interest” and the Public Health Service Financial Conflict of Interest guidelines found on the OSP website;
  - iii. Policy 80.11. “Subrecipient Monitoring”;
  - iv. Policy 80.12. “Cost Share Policy”; and
  - v. Policy 80.17. “Effort Reporting”.
- F. disclosure of intellectual property invented or created by the faculty, research staff, staff and students working on the Sponsored Project;
  - G. institutional review and approval before using humans and animals in research and compliance with the Institutional Review Board protocol or the Institutional Animal Care and Use Committee protocol, as applicable;
  - H. organizing and documenting the resources used as part of the Sponsored Project to ensure operational continuity;
  - I. accurate reporting and disclosure of information about the Sponsored Project on the annual Faculty Activity Report; and
  - J. preparation of interim progress reports and the final technical report for the Sponsored Project in a timely manner.