

Sponsored Projects Administration Tutorial

Investigator Responsibilities

sites.google.com/a/pdx.edu/research/pi-responsibilities



Portland State
Research & Graduate Studies



Learning Objectives:

Understand the responsibilities of serving as a Principal Investigator or Co-Investigator of sponsored project funds awarded to PSU during:

- **Proposal Development & Submission**
- **Award Management**
- **Project Management**

Investigator Eligibility

Principal Investigator/Project Director Eligibility and Responsibility Policy:
<https://sites.google.com/a/pdx.edu/research/forms>

Proposals submitted for extramural funding of research, training and public service projects, as well as awards received for such projects (sponsored projects) must name an eligible employee of the institution to serve as PI/PD.

Eligibility to act as a PI/PD or Co-Investigator (Co-I) on sponsored projects is a privilege limited to employees of Portland State University.

Principal Investigator (PI)

PI is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored projects

[PI is the term used for research projects, other projects may use the term “Project Director”]

Co-Investigator (Co-I)

While the PI has ultimate responsibility for the conduct of a research project, the Co-I is also obligated to ensure the project is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored project.

Proposal Development

Early stages

- Recognize the proposal is submitted by PSU on behalf of the investigator(s) and must be reviewed, endorsed, and submitted by Sponsored Projects Administration (SPA)
- Notify Sponsored Projects Administration (SPA) at the onset of the proposal development process (no later than 3 weeks/15 working days) prior to sponsor deadline or target date
- Read program solicitation and work with SPA to adhere to sponsor proposal requirements
- Work with SPA to adhere to general timeline and specific deadlines required in order to meet general and special submission requirements, develop and compile proposal components



Proposal Development

Budget

- Provide reasonable estimates of percent of effort and other expenses necessary to carry out the proposed project, including effort related to cost sharing commitments
- Make key budgetary decisions and verify that budgets and cost estimates are sufficient to carry out the proposed project scope
- Identify subrecipients and review and approve subrecipient proposals included in PSU's proposal submitted to the sponsor



Proposal Development

Approvals and Submission

- Prepare and compile required proposal components and forms and either submit to SPA or upload in sponsor's electronic system
- Secure resource commitments and required internal approvals in accordance with PSU's process prior to submission of the proposal
- Do NOT submit proposal directly to sponsor (It will be transmitted by SPA)



Award Management

Award Acceptance

- **Recognize Portland State University as the recipient of awards**
- **Read award document and materials provided by SPA related to sponsor policies and regulations, special requirements, and/or restrictions**
- **Comply with terms of award, corresponding federal regulations, and university and sponsor policies and procedures and oversee administration of project funds**
- **Communicate with SPA staff for guidance regarding special terms and conditions, adherence to the award terms and conditions, as well as sponsor and PSU policy**



Award Management

Spending Award Funds

- **Initiate expenditure transactions, types include but are not limited to:**
 - letters of offer, labor distributions,
 - travel authorizations/reimbursements,
 - consulting agreements (PSCs),
 - purchase orders, supply orders, etc.]
- **Use SPA-provided tools to coordinate with staff that place orders for sponsored project expenses [*orders can be placed directly with vendor, p-card, purchase order or formal procurement process*]**
- **Review and approve payroll documents and purchase requests in PSU approval systems and authorize payment of invoices**
- **Approve outgoing subrecipient agreements and related invoices**
- **Coordinate with unit heads and SPA to identify and authorize cost sharing obligations and expenditures**



Award Management

Budget Monitoring

- Review monthly reports of budget and expenditure activity to verify the authenticity and accuracy of expended funds and communicate identified errors to SPA
- Coordinate with SPA staff to determine whether the project charges are allowable and allocable in accordance with federal regulations, PSU, and sponsor policies and procedures
- Work with SPA to obtain appropriate sponsor prior approvals for significant changes as required by award terms and sponsor regulations



Award Management

Reporting

- Prepare and submit program/technical reports, deliverables, and other required reports
- Review effort reports to determine if actual effort reasonably corresponds to payroll distribution charges
- Submit accurate and timely closeout information, reports, and documents to SPA and sponsor in accordance with PSU and sponsor policy



Project Management

Activities & Staff

- Administer and oversee research project activities and ensure the scientific integrity of the project
- Adhere to all federal, state, and local regulations and university and sponsor policies and procedures instituted to protect the health and safety of research participants, personnel, and the environment, such as:
 - the treatment of human and animal subjects,
 - conflicts of interest
 - data acquisition, management, sharing and ownership
 - publication practices
 - responsible authorship
- Oversee the project team to help ensure ethical conduct in all aspects of the research process
- Assure that all key personnel involved in the project have met training requirements in accordance with federal regulations, PSU and sponsor policies and procedures



Project Management

Compliance & Other Requirements

- Coordinate with unit staff and Research & Graduate Studies (RGS) personnel to help ensure that research and sponsored project activities are conducted in accordance with federal regulations and PSU and sponsor policies and procedures
- Support and endorse cooperation with research compliance and monitoring efforts and report instances of noncompliance to the appropriate office
- Take appropriate steps to avoid conflicts of interest, or the appearance of conflicts of interest, between financial or other personal interests and the goals and policies of the University
- Disclose potential conflicts of interest and conflicts of commitments in accordance with PSU and sponsor requirements
- Disclose project inventions and comply with University intellectual property policy
- Adhere to record retention policy for all financial and scientific documentation



Project Management

Stay Informed

- Attend offered trainings and outreach sessions
- Stay in contact with SPA and other Research & Graduate Studies (RGS) personnel



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