



INTERIM STATEMENT ON PRINCIPAL INVESTIGATOR DUTIES AND RESPONSIBILITIES

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I. INTRODUCTION

The University of Guam's institutional mission addresses three primary foci: teaching, research, and outreach pertinent to the western Pacific region. While scholarly work, research and the publication of research findings are required for tenured faculty promotion, the University encourages all eligible personnel to seek external funding and engage in projects related to the mission and goals of the University.

The Office of Sponsored Programs and Research (OSPR) supports faculty members and eligible University personnel to conduct research activities in collaboration with the various Micronesian colleges, as well as, select public and private agencies locally, nationally, and internationally.

II. POLICY STATEMENT ON DUTIES

The intent of this statement is to provide guidance with procedures that must be followed in conducting externally sponsored projects or managing campus program accounts through the University of Guam and to identify individuals and areas within the institution that can provide assistance and answer questions Principal Investigators may have regarding these requirements. As a resource, this statement supplements and does not replace existing policies and procedures of the University of Guam.

A Principal Investigator (PI) (sometimes known as Project Director or Responsible Person) has the responsibility to be aware of all matters contained in this policy statement, to ask questions, to alert the appropriate administrator of any risks or issues related to the program, and request assistance from the Office of Sponsored Programs and Research in the undertaking of projects, to effectively train and supervise project personnel about those matters that are appropriate for each employee to know and to adhere to.

PIs operate under the supervision of an administrator, normally, a dean or director. It is the PI's duty to continuously exercise responsible judgment in the administration of the project from the inception through the close out. The PI is accountable and responsible to the Dean or Director and AVP for ethical conduct, accuracy of time and effort reporting, and quality performance for the grant or contract.

The first step is to prepare a proposal for a grant, contract, or Request for Proposal (RFP). Any program or proposal that uses any University of Guam resources must have the written approval of the appropriate administrator. Faculty time is a resource, and as such, approval in writing must be obtained from the

faculty member's dean or director for participation on a grant or contract. When the proposal is ready, the complete narrative and a budget must be submitted in time for a review by the faculty member's dean or director and the OSPR (for form accuracy and budget). Upon their approval the grant or contract may be submitted. If there are questions about submission of grants, please contact the OSPR. For grants, normally a scientific review and scoring summary is provided as feedback. These reviews will be kept at the OSPR for future use.

Once an award has been received, a campus program account will be established at the Business Office. The PI is responsible to send, via the OSPR¹, a copy of the proposal, the award letter, and any other information to the Business Office². Once a campus program account is established, PIs assume primary responsibility for the technical (or programmatic) conduct, the administration of the funds, and the general management of the project to assure contractual/award terms and conditions are met, all Government of Guam rules (such as procurement) are followed, all University of Guam policies (travel, etc.) are adhered to and ensure sure the project stays within budget.

Upon the completion of the project, the PI will submit all final reports. A copy must also be submitted to the OSPR, including copies of all published papers, outcomes or reports produced during the term of the project or using data produced by the project.

III. GENERAL RESPONSIBILITIES

In conducting a sponsored project, performing work under a contract, or operating under a campus program account, PIs responsibilities include but are not limited to the following:

Ongoing Responsibilities:

- Communicate regularly with the Office of Sponsored Programs and Research;
- Attend and ensure all staff also attend training sessions offered by the OSPR to ensure up-to-date information on project administration requirements;
- Administer the grant or contract, including time and effort reporting;
- Ensure ethical conduct with regard to research and management of the grant or contract;
- Provide technical and academic direction for the grant or contract;
- Supervise staff and others working under the auspices of the grant or contract;
- Ensure accountability to the units involved, including ensuring that a Cross-Unit Load Form³ is approved: communicate with home unit and unit housing the grant, communicate with the Business Office and communicate with the OSPR;
- Sign off on all requests for hiring;
- Ensure signatures and routing of documents are done correctly to demonstrate transparent and accessible flow;
- Maintain time and effort reporting and oversee submission of timesheets.

Pre-Award:

- Thoroughly review and follow sponsor guidelines and Request for Proposal (RFP);
- Communicate to the OSPR of PIs intent to submit a proposal and begin completing *Forms*;
- Prepare a proposal, including a budget, in accordance with sponsor guidelines and applicable laws and regulations;
- Identify any special needs for compliance, any potential conflicts of interest and/or Intellectual Property, IRB requirements;
- Obtain collaboration letters from any anticipated collaborator or consultant on the proposed project;
- Obtain the written approval of the administrative supervisor of any current employee named in the grant or contract;

- Once the PI receives written notification/approval from the OSPR the proposal may be submitted to the sponsor.

Post-Award Responsibilities:

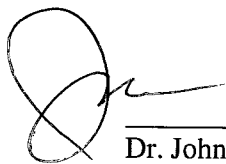
- Notifies the OSPR when the PI receives award notification from the Sponsor and forward the award document to the OSPR for processing;
- Review the award document for technical and administrative accuracy and appropriateness;
- Responsibly oversee, in coordination with Business Office and the OSPR, project funds, including expending funds within the projected period and within designated budget categories, following all UOG policies;
- Complete and submit technical or progress reports according to established time schedules;
- Ensure timely evaluation and review by unit housing grant and the OSPR;
- Maintain Time/Effort reporting for grant activities;
- Maintain business and activity reporting with signature approval by PI, Dean/Director, Legal Counsel, AVP, and SVP and President where appropriate.

IV. ELIGIBILITY TO BE A PRINCIPAL INVESTIGATOR

- PIs must be qualified to submit an award, as defined by the appropriate funding agency;
- PIs must have completed training for PIs that is offered on a regular basis by OSPR or another external agency;
- PIs must have solid commitment to the University, including a desire to serve the University;
- PIs must have a binding relationship to the University community through appointment or contract through at least the period of the grant or contract.

V. DISQUALIFICATION OF A PRINCIPAL INVESTIGATOR

- A PI may be disqualified by the University and may not submit grants or work on contracts for a period of time as defined by the Research Council;
- Rules and regulations for such disqualification, the process and procedures will be developed by the Research Council;
- Upon disqualification, the Research Council will provide a development plan to the PI, which, when completed, will allow the employee to again submit grants or work on contracts. Such a plan may include training, mentoring, or other activities designed to prepare a person for the responsibilities of a PI.



Dr. John Peterson
Assistant Vice President

11-22-10

Date

¹ Ms. Kristina Torres, Program Coordinator IV, is assigned to the Office of Sponsored Programs and Research. She may be contacted via email at kltorres@uguam.uog.edu or via telephone at 671-735-2672.

² Ms. Nancy Cueto, Accountant III, at the Business Office is responsible for assigning account numbers to program accounts after she is in receipt of all the required documents.

³ Cross-Unit Load Form approved by Deans Council 10/27/2008