

Research Services

Policy 09.007

Area: Investigator Responsibilities

Authority: Dean of Graduate School and Research

History: Placed into effect March 2009, revised October, 2011

Responsible Office: Office of Research Services

Sponsored funds provide freedom and flexibility to conduct a project, but also require a concomitant level of responsibility for proper stewardship. Each sponsored project must have a designated leader, a principal investigator or project director, who is required to see that the terms of the grant or contract are fulfilled.

Although the University is legally accountable to the sponsor as the official recipient of a grant or contract, the principal investigator or project director is responsible for the proper fiscal management and conduct of the project. To assist the faculty member in this very important responsibility, the University provides supporting administrative services and has established policies and procedures to help meet both sponsor and university administrative requirements. The University is legally and financially responsible and is accountable to the sponsor for the performance of the sponsored activity and the proper use of funds. Managing a sponsored project is a joint effort between the Principal Investigator (PI) and the University.

The PI must comply with all terms and conditions imposed by the sponsor and see that the project funds are managed efficiently and effectively within approved budgets. The PI must initiate required approvals for budgetary and programmatic changes that may be necessary during the project. The PI is likewise responsible for the preparation and timely submission of technical reports and any other required deliverables.

In addition, the PI must ensure that all project members are familiar with and comply with the intellectual property and publication clauses of the grant or contract, with federal policies regarding research safety protections, research training and integrity, as well as with applicable U.S. export control regulations. Inventions and copyrightable material produced under sponsored projects must be governed by the specific terms of the award received from the sponsor and must be handled in accordance with University policy.

Sponsored projects are conducted as a function of the appropriate academic unit (department, school/college, or division). Financial management and responsibility of the project also rests with the appropriate academic unit.

The PI has a responsibility to the sponsor, the department, the college/school or division and the University to ensure that the requirements of the sponsored project are met and the policies of the University are followed.

Contact: Director of Sponsored Programs, 910.962.3810, www.uncw.edu/policies