



UNIVERSITY OF
WEST GEORGIA

Last	N/A
Approved	
Effective	N/A
Next Review	N/A

Area	Academic and Research (Procedures)
Responsible Party	Office of Sponsored Operations and Research

Principal Investigator

Authority for Procedure granted by UWG [Policy #2014 Research and Sponsored Projects](#).

The University of West Georgia (UWG) assumes significant financial and legal obligations when a proposal is submitted to an external sponsor, or an award to support a ~~project~~[Sponsored Project](#) is accepted. ~~A formal award is~~[Awards are](#) made to UWG; ~~however, funding is based on the professional expertise of University personnel responsible for conducting the project~~[is funded based on the University personnel's professional expertise submitting the proposal](#). ~~All UWG Principal Investigators (PI's) must meet the defined eligibility requirements outlined below.~~

[All UWG Principal Investigators \(PI's\) must meet the defined eligibility requirements outlined in this procedure.](#)

Under the University's oversight and authority, the PI (also ~~known as the~~[referred to as the Project Administrator/Director or Program Administrator/Director](#)) of a ~~sponsored project administrator, project director, program administrator, or program director~~[sponsored project](#) bears primary responsibility for:

- ~~completion~~[Completion](#) and technical compliance of the proposed scope of work;
- ~~fiscal~~[Fiscal](#) stewardship of the sponsor's funds, ~~and~~; ~~and~~
- ~~fulfillment of the~~[Fulfillment of](#) project's administrative requirements.

A. PI Eligibility

The University must ensure that individuals serving as ~~PI's have~~[PIs possess](#) the appropriate technical competence, administrative capabilities ~~and a~~, ~~and~~ commitment to the University. ~~Members of the Corps of Instruction may serve as PI's on sponsored programs and includes:~~

[Members of the Corps of Instruction and designated professional staff in the following categories may](#)

serve as PIs on sponsored programs and include:

1. Full-time professors, associate professors, assistant professors, instructors, lecturers, senior lecturers, principal lecturers, and teaching personnel with such other titles may be approved by the Board of Regents (BOR);
2. Full-time research and extension personnel and duly certified librarians; and
3. Other full-time University employees ~~may serve as a PI with the approval of~~ from their ~~authorizing~~ department/unit head and college dean or equivalent(s).

Only full-time, regular employees (faculty and staff) are eligible to ~~be designated~~ serve as Principal Investigators and ~~to~~ submit applications for external funding. ~~This includes faculty and staff. Emeritus, Affiliates, students, limited-term, part-time, or visiting employees are not eligible to submit proposals for external funding unless they:~~

Emeritus faculty, Affiliates, students, limited-term, part-time, or visiting employees are generally ineligible to serve as PIs unless they:

- ~~are~~ Are designated as a ~~co~~ Co-Principal Investigator (Co-PI) ~~and have~~ working under an eligible PI ~~as described above; and/or~~
- ~~have provided~~ Provide written justification to and ~~received~~ receive approval for ~~each~~ a specific proposal submission from their department/unit head, dean or director, and/or the Chief Academic Officer.

B. Appointment of Principal Investigators

The University reserves the authority to approve, deny, or revoke an individual's designation as a Principal Investigator. The Office of Research and Sponsored Projects (ORSP), in consultation with the appropriate department chair, dean, director, or Chief Academic Officer, may review PI eligibility and approve exceptions to this procedure when justified and permitted by sponsor requirements.

C. Change in Principal Investigator Status

A PI must promptly notify ORSP of any anticipated change in employment status, effort commitment, extended leave, retirement, resignation, or other circumstances that may affect the individual's ability to fulfill project responsibilities. ORSP will coordinate any required sponsor notifications, approvals, or designation of a successor PI.

D. Roles and Responsibilities

When undertaking a research project, the PI assumes responsibilities ~~that extend~~ extending beyond ~~the proposal preparation and include~~ development and throughout the entire project lifecycle, including compliance with appropriate assurance processes, the conduct and integrity of the scientific or other sponsored project and its close-out processes, and the subsequent dissemination of the results.

~~The PI is responsible for the following:~~

- ~~1. The soundness, accuracy, and completeness of the proposal, including:~~

- i. Preparation of the research or sponsored activity proposals;
 - ii. Submission of these proposals through the Office of Research and Sponsored Projects (ORSP) with the proper scientific, statistical, departmental, and College review, and the verification of the adequacy of the resources to conduct the research, and
 - iii. Coordination of the proper review of any off-site research or other sponsored project activity.
- 2. The scientific, ethical, and technical aspects of any resulting research or other sponsored project, including:
 - i. Oversight of all activities in the laboratory or other space and each study site involved;
 - ii. Training and education of all individuals working on the research or other sponsored project in such areas as laboratory safety, scientific rigor, data collection and management, and scientific integrity, including, but not limited to, issues such as authorship, conflict of interest, and commitment, and humans and animal subjects issues, and;
 - iii. Understanding that research or other sponsored activity conducted at UWG must satisfy the investigators' needs, the institution, and the funding agency.
- 3. The proper budgetary management of awarded funds including:
 - i. Authorizing the allocation and verifying the appropriateness of expenditures as legitimate, allowable, and correct;
 - ii. Financial monitoring of accelerated expenditures, large unobligated balances, and over-expenditures;
 - iii. Initiation and coordination of Personnel Action Requests (PAR) for the research or sponsored project personnel;
 - iv. Re-budgeting promptly and accurately and informing Department Chair and Dean, or Equivalents, of such re-budgeting, and;
 - v. Ensuring that program income (if any) is returned to the research or sponsored project.
- 4. Compliance with the specific terms of the award and statutes, including:
 - i. Obtaining, maintaining, and adhering to all assurances such as human subjects, animal care and welfare, radiation safety, hazardous chemicals, recombinant DNA, and biological substances;
 - ii. Compliance with terms including prior written approval for change in scope, foreign travel, equipment purchases and disposition, hiring, contracting, and re-budgeting, and;
 - iii. Submitting copies of all progress and required reports to the ORSP before submission to the funding organization.
- 5. Adherence to Federal and other sponsor regulations:
 - i. Such as those concerning proscriptions against lobbying, financial discussions with

~~industry funding sponsors, and the specified Terms and Conditions of the award.~~

~~6. Protecting the University from legal liability related to the research or other sponsored project.~~

1. Proposal Development and Submission

The PI is responsible for ensuring the soundness, completeness, and accuracy of all proposal materials, including:

- : Preparing research or sponsored project proposals;
- : Submitting proposals through ORSP with the proper scientific, statistical, departmental, and Division/College review.
- : Verification of the adequacy of the resources to conduct the research; and
- : Verifying the availability of adequate resources necessary to conduct the proposed work.

2. Project Conduct and Oversight

The PI is responsible for the scientific, technical, ethical, and programmatic oversight of the project or resulting research, including:

- : Oversight of project personnel, laboratories, project locations, and study sites;
- : Training, education, and supervision of all project personnel in areas such as laboratory safety, scientific rigor, data collection and management;
- : Maintaining standards of scientific integrity and responsible conduct, including, but not limited to, issues such as authorship, Actual or Apparent Conflict of Interest and Commitment, and human and animal subjects' issues;
- : Ensuring compliance with applicable safety requirements, protocols, and regulatory approvals; and
- : Understanding that research or other sponsored activities must satisfy the requirements of the University and the funding agency or sponsor.

3. Data Management and Information Security

The PI is responsible for safeguarding project data and complying with applicable laws, regulations, sponsor requirements, University information security requirements, and data management obligations. This includes protecting sensitive, confidential, proprietary, and regulated information from unauthorized access, disclosure, alteration, or destruction.

4. Financial Management

The PI is responsible for the proper budgetary management of awarded funds, including:

- : Authorizing expenditures and ensuring expenses are legitimate, allowable, allocable, reasonable, and properly documented;
- : Monitoring expenditures, unobligated balances, and over-expenditures;
- : Initiating and coordinating Personnel Actions for research or sponsored project personnel;

- : Managing budget revisions in accordance with sponsor and University requirements and notifying appropriate administrators (e.g., ORSP and Department/unit head and Dean, or equivalent) of significant re-budgeting actions; and
- : Ensuring that program income, when applicable, is returned to the research or sponsored project.

5. Compliance and Reporting

The PI is responsible for compliance with the specific Terms and Conditions of the awarded funds, including:

- : Obtaining, maintaining, and adhering to all assurances such as human subjects, animal care and welfare, radiation safety, hazardous chemicals, recombinant DNA, and biological substances;
- : Obtaining prior approvals required for changes in scope, foreign travel, equipment purchases and disposition, contracting, personnel actions, hiring, and budget revisions;
- : Submitting copies of all progress and required reports and documentation to ORSP before submission to the funding organization sponsors;
- : Complying with federal regulations, state laws, sponsor requirements, BOR policies, and University policies, such as those concerning proscriptions against lobbying, financial discussions with industry funding sponsors, and the specified Terms and Conditions of the award; and
- : Protecting the University from legal, regulatory, financial, and reputational risk associated with sponsored activities.

6. Records Retention

The PI is responsible for maintaining project records in accordance with applicable sponsor requirements, Board of Regents requirements, University policies, and records retention schedules.

7. Foreign Activities and Sponsor Disclosures

The PI is responsible for disclosing foreign collaborations, affiliations, appointments, support, travel, and other activities when required by sponsor regulations, federal requirements, or University policy.

E. Required Forms/Training

~~A disclosure form must be submitted in the event of significant financial interest. A Financial Conflict of Interest (FCOI) management plan will be established if the interest is deemed a conflict. For more information, see [UWG PL 4001, Conflicts of Commitment and Interest](#).~~

~~The PI and any personnel involved with the design, conduct, and/or reporting must complete [CITI Conflicts of Interest training](#).~~

~~If the PI receives a sub-award, they will also need to complete a scope of work, budget, and budget justification. They must complete a Subrecipient Commitment Form (provided by the prime institution) and a possible letter of intent/commitment/collaboration.~~

~~If the PI includes a sub-award as part of their proposal, the PI must complete UWG's [Subrecipient Commitment Form](#).~~

The PI, Co-PI, and all project personnel must complete all sponsor-required, regulatory, University-required, and applicable CITI training **before engaging in project activities**. Required training certifications must be maintained and renewed as applicable throughout the project period.

1. Conflict of Interest and Commitment

When an Actual or Apparent **Conflict of Interest (COI)** or **Commitment (COC)** exists, the PI must disclose the conflict by completing the [UWG Employees Outside Activities Disclosure Form](#).

When the disclosure involves a financial interest related to the PI's institutional grant responsibilities or sponsored activities, the PI must also complete the [Financial Conflict of Interest \(FCOI\) Disclosure Form](#) and include a copy of the completed form with the UWG Employees Outside Activities Disclosure Form. Submission of the FCOI Disclosure Form is required regardless of whether the disclosed financial interest is determined to constitute an FCOI.

If the University determines that the disclosed financial interest constitutes an FCOI, an FCOI Management Plan shall be established and implemented in accordance with University requirements.

For additional information, see **UWG PL 4001, Conflicts of Commitment and Interest**.

2. Collaborative Institutional Training Initiative (CITI)

The PI and any project personnel involved in the **design, conduct, or reporting** of the project must complete the applicable [Collaborative Institutional Training Initiative \(CITI\) courses](#) before participating in project activities and maintain the required certifications throughout the project period.

3. Sub-Awards

If the PI receives a sub-award, the PI must complete all applicable sponsor-required documentation, which may include:

- : [Scope of work](#);
- : [Budget](#);
- : [Budget justification](#); and
- : [Letter of intent, commitment, or collaboration, when applicable or available](#).

4. Cost Sharing or Matching Funds

If ~~a match is~~ cost sharing or matching funds are required, the PI must complete ~~a [Cost Share Request Form](#)~~ the **Cost Share Request Form** embedded in the [Proposal Routing Form](#).

5. Facilities and Administrative (F&A) Cost Waiver

~~If the PI requests that the~~ Facilities and ~~Administration~~Administrative (F&A) costs ~~are requested to be~~

waived ~~from their budget, they~~ the PI must complete a ~~Facilities and Administrative Cost Waiver Form~~ the **Facilities and Administrative Cost Waiver Form** embedded in the [Proposal Routing Form](#).

Definitions

Actual Conflict of Interest: A situation in which an employee is in a position to influence, either directly or indirectly, University business, research, or other decisions in ways that could lead to financial gain or other personal benefit for the employee, the employee's family, or others to the detriment of the University's integrity and its mission of academic excellence, research, and public service.

Affiliate: Non-tenure track professional positions that may ~~be involved in duties of a~~ involve managerial, research, technical, special, career, public service, or instructional support ~~nature~~ duties as defined by BOR Policy Manual [08.03.08.04, Academic Professionals](#).

Apparent Conflict of Interest: A situation in which a reasonable person could conclude that an employee's ability to protect the public interest or perform official duties is compromised by a personal, professional, financial, or business interest, even if no actual conflict exists.

Co-Principal Investigator (Co-PI): An individual designated to share responsibility for the scientific, technical, programmatic, or administrative conduct of a sponsored project under the direction of an eligible Principal Investigator.

Conflict of Commitment: A situation in which the aggregate time an employee devotes to outside activities, employment, or pursuits interferes with the employee's ability to meet their University duties and responsibilities. Examples of Conflicts of Commitment include, but are not limited to: outside employment, consulting, political/public service, etc.

Corps of Instruction: Full-time professors, associate professors, assistant professors, instructors, lecturers, senior lecturers, principal lecturers, and teaching personnel with such other titles as may be approved by the Board of Regents (BOR). ~~Full~~ The Corps of Instruction will include full-time research and extension personnel and duly certified librarians ~~will be included in the Corps of Instruction~~ on the basis of comparable training. Persons holding part-time and adjunct appointments or other honorary titles shall not be considered to be members of the faculty.

Emeritus: Any retired professor, associate professor, assistant professor, lecturer, senior lecturer or administrative officer who, at the time of their retirement, had ~~ten (10)~~ years or more of honorable and distinguished service at UWG. This title may be conferred upon the recommendation of the President of UWG (see BOR Policy Manual [02.11 Title of Emeritus or Emerita](#) and BOR Academic and Student Affairs Handbook [04.12 Guidelines for Awarding of Emeritus/Emerita Status](#)).

~~**Personnel Action Requests (PAR):** The electronic form to process hiring, pay, and termination transactions for all employees.~~

Principal Investigator (PI) or Directors: ~~Individual responsible~~ The individual designated by the University to assume primary responsibility for the preparation, conduct, ~~and administration of a~~ compliance, reporting, and stewardship of a sponsored project (e.g., research grant, cooperative agreement, training or public service project, contract, or other sponsored project etc.).

Sponsored Project: A project funded in whole or in part by an external sponsor through a grant, contract,

[cooperative agreement, subaward, or other funding mechanism that includes specific performance, financial, reporting, or compliance requirements.](#)

Terms and Conditions: Programmatic requirements issued by the sponsor for the conduct of the grant, research project, or sponsored agreement.

Forms

- [Cost Share Request Form](#)[Pre-Proposal Form](#)
- [Facilities and Administrative Cost Waiver Form](#)[Proposal Routing Form \(PRF\)](#)
 - [Cost Share Request Form](#)
 - [Facilities and Administrative Cost Waiver Form](#)
- [Proposal Routing Form](#)
- [Significant Financial Interest Form](#)[Financial Conflict of Interest Disclosure Form](#)
- [Subrecipient Commitment Form](#)
- [Time and Effort Reporting Form](#)
- [UWG Employees Outside Activities Disclosure Form](#)

[Guidelines/Related Material](#)

- : [Office of Research and Sponsored Projects webpage](#)

Tags

Researcher

Approval Signatures

Step Description

Approver

Date