

UAS GM 04: PI Responsibilities

General Responsibilities

The University of Alaska Southeast is the award recipient. The award is made under the condition that the Principal Investigator (PI) named in the document is the key person for the project and is available to complete the scope of work. The PI assumes those responsibilities when that individual prepares the proposal for the project. The PI has full responsibility for the completion of the scope of work and the correct allocation of costs to the project according to the budget.

Agency notification requirements must be adhered to regarding the availability of the named researcher to serve on the award as principal investigator. The agency may permit the naming of a substitute PI if warranted, but has the right to rescind the award if the change of PI is not acceptable to them. If another PI is brought onto the research project, the sponsoring agency will need to be notified, with a copy to the Grants Office, of the change in PI time and effort, and requested to approve the addition of the second co-investigator.

The Award Process

- **Intent to Award:** When notification of intent to award or an actual award is received by UAS, the project grant can be established. Upon receipt of notification of intent to award, the school/department may assume financial liability to allow the PI to begin the work via an Assumption of Liability Request. The PI should check with their Dean/Director if they receive such advance notification and may request that the school/department assume such financial liability. At that time, the school/department may initiate setup procedures.
- **Actual Award:** When the award document is received, the Grants Office will provide a copy to the PI and/or fiscal manager. They each should read the award document for content and terms and conditions. It is the PI's responsibility to check the award to ensure that it contains a statement of work to be performed (whether actual or by reference to the proposal) which agrees with the proposal as submitted. The PI should make a note of all limitations imposed by the proposed grant or contract or agency manual since those are the rules under which the project will be required to operate.
 - If any discrepancies are found in either the work statement or operating rules that prevent the proper performance of the project, they should be made known to the school/department and the Grants Office.
 - Negotiations with the agency by the Grants Office, with the assistance of the PI, may be conducted to amend unacceptable clauses prior to execution of the award document.

Implementing the Award

- **Expenditures:** The PI is responsible for the expenditures of funds including labor, hours and effort. (*See UAS GM 04 Approval of Charges & Revisions to Projects.*) The PI must use the funds awarded within the guidelines described in the awarding document and/or the agency manual. Time and effort reports should be submitted to the school/department in accordance with departmental procedures and must be signed by the PI.
- **Subrecipient Awards:** Subrecipient monitoring is required by the federal government for federally funded subawards. See Uniform Guidance Subpart D, 200.330-332. The PI is responsible for initiating all requests for subawards and subsequent monitoring of progress toward completion. The terms of the relationship are documented in a subaward (subgrant/subcontract/consortium agreement). These guidelines are intended to assist responsible PI and staff to ensure:

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- subrecipient is conducting its portion of the project in compliance with applicable laws and regulations and with the terms of the award and subaward, and
 - subrecipient's portion of the project costs is reasonable and allowable.
- **Budget Amendment:** If an award's terms and conditions require prior agency approval, a letter to the agency's grant specialist, through the Grants Office, should be prepared outlining the need for the reallocation and provide an amended budget in the agency's format. *(See UAS GM 04 Approval of Charges & Revisions to Projects.)*
- **Extension of Time:** Initiation of requests for the extension of an end date, increase of award, or preparation of renewal proposals are the responsibility of the PI. Such requests should always be coordinated with the school/department prior to submission to the funding agency, through the Budget and Grants Office, according to university policies and procedures.
- **Progress/Technical Reports:** The PI is responsible for the preparation and timely submission of all progress and/or final technical reports required by the agency. A full copy of the technical report must be kept on file in the school/department for future possible audit. The department then has the responsibility of providing the Grants Office with a copy of the cover page (only) or transmittal letter for retention in the grant file.