

Research and Sponsored Projects Manual (RSP)

RSP 103: Principal Investigator Responsibilities

Effective: 12/2/1985

Revised: 3/1/2022

Purpose

To summarize the responsibilities of the [principal investigator](#)

Sources

Knowledge Enterprise (KE)

Office for Research and Sponsored Projects Administration (ORSPA)

Policy

Sponsored project agreements are legally binding agreements between the [sponsor](#) and the Arizona Board of Regents (ABOR), acting for and on behalf of ASU. However, the [principal investigator \(PI\)](#) has primary responsibility for the management of his or her [sponsored project](#) in accordance with federal, state, university, and sponsor requirements. The Office for Research and Sponsored Projects Administration (ORSPA) helps the PI address the requirements governing [proposal](#) preparation, award [negotiation](#), and post-award [management](#).

Proposal Preparation

Policy Requirement	Policy Reference
General	RSP 101
Coordination of Proposal Submissions to Foundation Sponsors by ORSPA and the ASU Foundation	RSP 601
Allocation of Recognition, Research Incentive Distribution, and Investigator Incentive Awards	RSP 106
Limited Submission of Proposals	RSP 301
Proposal Processing and Submission	RSP 302
Disclosure of Proposals-Award Information under the Arizona Public Records Act and the Freedom of Information Act	RSP 104
Lead Unit Identification and Responsibilities	RSP 107

<p><u>Compliance</u></p> <ol style="list-style-type: none"> 1. Human Subjects in Research 2. Care & Use of Laboratory Animals 3. Radiation Safety in Research and Teaching 4. Hazardous Waste Management 5. Biosafety 6. Objectivity in Research—Disclosure of Financial Interests and Management of Conflicts of Interest 7. Standards for Scientific Diving 8. Misconduct in Research 9. Export Control <p>Assurances</p> <ol style="list-style-type: none"> 1. Security Clearances 2. Certification of a Drug-Free Workplace 3. Procurement Integrity 	<ol style="list-style-type: none"> 1. RSP 201-01 2. RSP 202 3. RSP 203 4. RSP 204 5. RSP 205 6. RSP 206 7. RSP 207 8. RSP 210 9. RSP 214 <ol style="list-style-type: none"> 1. RSP 213-01 2. RSP 213-02 3. RSP 213-03
<p>Prepare proposal budgets that are accurate and comply with the requirements of the university and the sponsor, including federal/state government policies and regulations</p> <ol style="list-style-type: none"> 1. Personnel Employed on Sponsored Projects 2. Conference Registration Costs for ASU Employees on Sponsored Projects 3. Sponsored Project Travel and Related Costs (Non-ASU Employees) 4. Consultants, Lecturers, and Other Professional Services for Sponsored Projects 5. Cost Sharing Documentation for Sponsored Projects 6. Charging Direct and F&A Costs to Sponsored Projects 7. F&A Costs 8. Subaward Agreements 9. Personnel Employed on Sponsored Projects 10. Sponsored Projects Travel for ASU Employees 	<p>RSP 303</p> <ol style="list-style-type: none"> 1. RSP 502-01 2. RSP 504-04 3. RSP 504-05 4. RSP 503-03 5. RSP 506-03 6. RSP 508-01 7. RSP 508-02 8. RSP 503-05 9. RSP 502-01 10. RSP 504-01
<p>Disclosure of Proposal-Award Information under the Arizona Public Records Act and the Freedom of Information Act</p>	<p>RSP 104</p>

Award Negotiation

Policy Requirement	Policy Reference
Agreement Negotiation and Acceptance	RSP 401
Understand ABOR/university standards when addressing terms and conditions within pending agreements	

<ol style="list-style-type: none"> 1. Classified and Proprietary Research 2. Publications 3. Intellectual Property Management Implementation 	<ol style="list-style-type: none"> 1. RSP 404 2. RSP 406 3. RSP 604
Pre-award Site Visits	RSP 408
Travel of Research Investigators to Potential Sponsors	RSP 605–02

Post-Award and Project Management

Policy Requirement	Policy Reference
Establishment of a Sponsored Project Account	RSP 501
<p>Compliance and Assurance Management</p> <p>Compliance</p> <ol style="list-style-type: none"> 1. Human Subjects in Research 2. Care & Use of Laboratory Animals 3. Radiation Safety in Research and Teaching 4. Hazardous Waste Management 5. Biosafety 6. Objectivity in Research—Disclosure of Financial Interests and Management of Conflicts of Interest 7. Standards for Scientific Diving 8. Misconduct in Research 9. Export Control <p>Assurances</p> <ol style="list-style-type: none"> 1. Security Clearances 2. Certification of a Drug-Free Workplace 3. Procurement Integrity 	<ol style="list-style-type: none"> 1. RSP 201–01 2. RSP 202 3. RSP 203 4. RSP 204 5. RSP 205 6. RSP 206 7. RSP 207 8. RSP 210 9. RSP 214 <ol style="list-style-type: none"> 1. RSP 213–01 2. RSP 213–02 3. RSP 213–03
<p>Personnel Management</p> <ol style="list-style-type: none"> 1. Personnel Employed on Sponsored Projects 2. Leaves and Absences for Sponsored Project Personnel 3. After the Fact Review and Acknowledgement of Personnel Costs 	<ol style="list-style-type: none"> 1. RSP 502–01 2. RSP 502–02 3. RSP 502–03
<p>Purchasing Management</p> <ol style="list-style-type: none"> 1. Purchase Requests on Sponsored Projects and Internal Grant Programs 2. Sponsored Project Cash Advances 	<ol style="list-style-type: none"> 1. RSP 503–01 2. RSP 503–02 3. RSP 503–03

<ul style="list-style-type: none"> 3. Consultants, Lecturers, and Other Professional Services for Sponsored Projects 4. Subaward Agreements 	<ul style="list-style-type: none"> 4. RSP 503-05
<p>Travel Management</p> <ul style="list-style-type: none"> 1. Sponsored Projects Travel for ASU Employees 2. Conference Registration Costs for ASU Employees on Sponsored Projects 3. Sponsored Project Travel and Related Costs (Non-ASU Employees) 	<ul style="list-style-type: none"> 1. RSP 504-01 2. RSP 504-04 3. RSP 504-05
<p>Equipment and Property Management</p>	<p>RSP 505-06</p>
<p>Sponsored Project Finance Management</p> <ul style="list-style-type: none"> 1. Cost Transfers to Sponsored Projects 2. Cost Sharing Documentation for Sponsored Projects 3. Guaranteeing Delinquent Sponsored Projects Accounts 4. Charging Direct and Facilities & Administrative Costs to Sponsored Projects 5. Facilities & Administrative Costs 	<ul style="list-style-type: none"> 1. RSP 506-02 2. RSP 506-03 3. RSP 506-04 4. RSP 508-01 5. RSP 508-02
<p>Award Modifications</p> <ul style="list-style-type: none"> 1. Sponsored Project Award Changes 2. Facilities & Administrative Costs 	<ul style="list-style-type: none"> 1. RSP 507-01 2. RSP 508-02
<p>Project Closeout</p> <ul style="list-style-type: none"> 1. Reports and Deliverables from Sponsored Projects 2. Financially Closing Out Fixed Price Agreements 3. Sponsored Project Agency/Org Deficit/Account Closeout 	<ul style="list-style-type: none"> 1. RSP 509-02 2. RSP 509-03 3. RSP 509-04
<p>External Audits and Programmatic Reviews</p>	<p>RSP 510-02</p>

Cross-References

For more information on general policies that define the research environment at ASU see:

- 1. [RSP 101](#), "General Research Policy"
- and
- 2. [RSP 102](#), "Principal Investigator Eligibility."