Research Administration – Principal Investigator Responsibilities

Overview

When research funds are awarded to individual researchers and/or to the institution, the University has a stewardship responsibility to ensure that the funds are utilized effectively and in accordance with sponsor policies and guidelines. This document is intended to provide a summary of the responsibilities of Principal Investigators/Research Account Holders as they relate to the management of research funds.

Principal Investigator/Research Account Holder Responsibilities

- Provide written authorization for all expenditures charged to their research accounts or where applicable, provide written delegation of signing authority.

- Ensure that individuals with delegated signing authority understand and comply with University and sponsor requirements.

- Use the award only for the designated purposes for which the award was made.

- Ensure that all expenditures comply with University and funding agency policies, procedures and guidelines.

- Ensure that sufficient funds are available to cover all expenditures and resolve any over-expenditure in a timely manner in accordance with the University’s Administrative Policy 7.11 (Over-Expenditure of Research Accounts).

- Monitor and review on a regular basis all financial transactions that have been charged to their accounts and communicate any discrepancies to their department administrator and/or Research Accounting.

- Abide by the University of Western Ontario’s Research Policies including the requirement of meeting all regulations regarding the use of animal subjects, human subjects and biohazardous materials and other Administrative Policies and Procedures as appropriate.

- Submit any supporting documentation required by University policy or sponsor guidelines, where necessary.

- Review and sign financial reports as required by the sponsor.

- Submit all technical, scientific and/or progress reports by the prescribed deadlines as required by the sponsor.

- Promptly notify Research Development & Services of any change in their employment status for the duration of the award.

- Co-operate in the investigation of any allegation of research misconduct or misuse of funds as it relates to their research project(s).