

UNIVERSITY of PENNSYLVANIA

Office of the President

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To: All Penn Principal Investigators

From: Judith Rodin, PhD *JR*
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Date: October 15, 2002

RE: **Responsibilities of Principal Investigators**

When a Principal Investigator accepts sponsored funding, he or she does so on behalf of the University under terms and conditions that include protection of human and animal subjects, allowability of costs, effort reporting and timely fiscal administration. Over the years, the requirements regarding compliance with sponsored funding have grown increasingly complex. Although we maintain a high level of compliance with the terms of conditions, we must continue to be vigilant in our efforts. Failure to remain compliant creates risk exposure for the University as well as the individual investigator. While the responsibility for the day-to-day administration of a grant often is delegated to a departmental Business Administrator, principal investigators also play a critical role and have important responsibilities in the administration of our sponsored research awards. These responsibilities have grown increasingly complex, and have changed considerably since many of us started doing research.

To assist principal investigators in understanding their roles and responsibilities, there are several resources within the University. Most recently, the Office of Audit and Compliance published and distributed the "Research Grant Pocket Compliance Guide" which is an attachment to this memorandum.

In addition, the Office of Research Services maintains the following resources online at its web address: <http://www.upenn.edu/researchservices/> including

- Research Investigators Handbook
- Managing Sponsored Projects: A Quick Guide to Faculty
- COGR – Managing External Funded Programs at Colleges & Universities

We strongly encourage you to avail yourself of these resources. We are very appreciative of all of the effort you extend in making Penn a great research University. Your attention to these resources will help to ensure compliance and financial accountability that will continue to make Penn an attractive institution to conduct sponsored research in the future.