

# **Kuali Research**

## **PD/PI/Co-PI/Co-I/Key Person Review and Approval**

The University of Arizona  
Spring 2022



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## Overview

As the PI, Co-I, or Key Person on a research proposal, it is your responsibility to **review** the Proposal Development Document (PDD) for accuracy and **approve** for your specific role and details.

For more information on Proposal Roles and Responsibilities, see

<https://research.arizona.edu/administration/proposal-submission/roles-and-responsibilities>.

## PD/PI/Co-PI Review

The **Program Director (PD), Principal Investigator (PI), or Co-Principal Investigator (Co-PI)** is an individual who is judged to have the appropriate level of training, skill, authority, and responsibility and is designated by the University of Arizona to direct or co-direct a sponsored project or program. They are responsible and accountable to the University and the Sponsor for the design, execution, and management of a sponsored project or program, including the submission of all required reports.

Serving in the role of PD/PI/Co-PI is a privilege granted to certain individuals and roles at the University of Arizona. For more information, please see the PD/PI/Co-PI **Eligibility** page.

By **approving** the proposal in **UAccess Research** the Principal Investigator and each Co-Investigator:

- Certifies that the information in the proposal and application is accurate and factual
- Certifies that if the project is funded, the PD/PI/Co-PI(s) will assume accountability for carrying out the conditions of the award
- Certify that neither the PD/PI/Co-PI nor anyone involved in this project is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency
- Indicates whether the PD/PI/Co-PI and the project does or does not involve an actual or potential conflict of interest or commitment, based on University policy
- Agrees that the PD/PI/Co-I(s) will meet the proposed level-of-effort if the project is funded
- Agrees to assume responsibility for custody of records and data (e.g., complete proposal, technical reports, lab notes) in accordance with the University policy on Retention of Data, and agrees to provide the University access to such records and data

**Note: Due to system limitations, Co-Principal Investigators are listed as Co-Investigators in UAccess Research except in NIH multi-PI proposals. The distinction in roles and responsibilities is indicated in the content of the project details, budget narrative, and submission package.**



**PDs/PIs/Co-PIs should review the following for accuracy and communicate/coordinate any necessary changes with the initiator of their Proposal Development Document.**

Image	Explanation
<p><b>Proposal Summary</b> - These items can be changed/corrected by SPS if an error is found. Do <b>not</b> return a proposal for edit for these minor changes. Please communicate any necessary changes with the proposal initiator. They can coordinate those changes with SPS.</p>	
	<p><b>Title</b> - Note: Greek letters must be spelled out.</p> <p><b>Principal Investigator</b></p> <p><b>Lead Unit</b> - <i>This is the only field that cannot be changed/corrected. Proposal document will need to be copied/re-routed. Please communicate/coordinate with your proposal initiator.</i></p> <p><b>Proposal Type</b></p> <p><b>Activity Type</b></p> <p><b>Project Start Date</b></p> <p><b>Project End Date</b></p> <p><b>Subawards Included?</b></p> <p><b>Sponsor Name</b> - our direct source of funds</p> <p><b>Prime Sponsor</b> - if we are a subawardee</p> <p><b>Sponsor Deadline Date</b> - our direct sponsor's deadline</p>
<p><b>Personnel</b> - Changes to Personnel are considered a Major Change and will require re-routing for approvals so that those individuals can review and approve their roles and allocations.</p>	
	<p><b>Have <u>all</u> named PIs, Co-Is and Key Persons been included?</b></p> <p><b>Are the roles listed for each named individual correct?</b></p> <p><b>Note:</b> In UAR, Multi PI/Co-PI is only available for NIH proposals. For all other sponsors, everyone but the Lead/Contact PI is listed in UAR as a Co-I. This does not mean they cannot be included as a Co-PI on the submission package.</p> <p><b>Have all UA individuals who share the responsibility for designing, conducting, or reporting for the activity been added to the Personnel section of this online proposal?</b></p>



Including, but not limited to, the PI, Co-PI, Co-I, PD, Co-PD, Key Personnel, **and any other person, regardless of title or position**, who is **responsible for** Project Work performed by or under the auspices of the University.

See Responsible Outside Interests Program resources at <https://research.arizona.edu/compliance/office-responsible-outside-interests/responsible-outside-interests-resources> for guidance.

**Note:** If COI Disclosers become known or change prior to award, they can be changed/updated at a later time.

**Credit Allocation** - Changes to Credit Allocation are considered a Major Change and will require re-routing for approvals either at time of proposal, or prior to award (if Sponsored Projects agrees).

Proposal Summary Personnel **Credit Allocation** Compliance

### Credit Allocation

	Credit for Award	F&A Revenue
<b>Wilbur Wildcat</b>	75	75
2536 - Chemistry & Biochemistry-Sci	50	25
9001 - Spon Projs & Contrg Svcs	50	75
<b>Unit Total:</b>	100	100
<b>Wilma Wildcat</b>	25	25
9001 - Spon Projs & Contrg Svcs	100	100
<b>Unit Total:</b>	100	100
<b>Wile E. Coyote</b>	0	0
9001 - Spon Projs & Contrg Svcs	100	100
<b>Unit Total:</b>	100	100
<b>Investigator Total:</b>	100	100

**Is your current home department/unit listed?** Please note that if the Lead Unit for the proposal is different than your current home department/unit, both will appear here.

**If you have a joint appointment with another department/unit, are they all listed here?**

**Is your Award Credit split accurately across your Units?**

**Is your F&A Revenue split accurately across your Units?**

**Is Award Credit split accurately (as agreed upon) across Named Individuals?**

**Is F&A Revenue split accurately (as agreed upon) across Named Individuals?**

**Attachments** - Attachments can be added while a proposal document is routing for approvals. Do **not** return a proposal for edit for these minor changes. Please communicate any necessary changes with the proposal initiator.

Proposal Summary Personnel Credit Allocation Compliance **Attachments**

### Attachments

Proposal (4) Personnel (1) Abstracts (0) Internal (1) Notes (1)

Add attachments to this proposal Hyperlinked files

[Download All](#)

File	Type *	Description
1	Project Summary	Project Summary (Abstract, Scope of Work)
2	Budget	Detailed Budget w/ Costshare
3	Budget Justification	

**Is attached required Project Summary accurate?**

**Is attached required Budget accurate?** Including any identified cost-share, whether mandatory/voluntary and committed/uncommitted.

**Is attached required Budget Justification accurate?**



**Supplemental Info** - These items can be changed/corrected if an error is found. Do **not** return a proposal for edit for these minor changes. Please communicate any necessary changes with the proposal initiator. They can coordinate those changes with SPS.

**F and A Information** - *PIs are most familiar with where the project work will be performed.*

F and A Information	
F&A Rate % (ex: 53/53.5)	53.5
F&A Rate Category	Federal negotiated rate
F&A return by sibling account activity (not F&A split)?	No
Proj Location (ex: Bldg-Rm-etc)	USB 510

**Is the main Project Location listed correctly?**

*The building(s) and room number(s) of the main project locations (where the majority of the University effort will occur) should be listed for University locations.*

*If off-campus, please identify the specific off-campus facility, owner, location.*

**Project Information** - *PIs are the individuals most familiar with the project and should be the ones to provide the answers to these questions.*

Project Information	
Additional space, space changes or renovations?	No
Are companies or nonprofits involved in the project?	No
Bloodborne pathogens?	No
Cancer Center facilities used (including shared resources)?	No
Cancer related research topics?	No
COVID-19 Research?	No
FDA/EPA GLP compliance?	No
Follow-on to Account No.	No
Foreign collaborations?	No
Hazardous chemicals?	No
HSI required/encouraged or goals involve minority students?	No
Human subjects?	Yes

**Have the supplemental questions been answered correctly?**

*These answers are used for reporting and compliance purposes. Incorrect answers may lead to poor data and reporting capabilities or compliance issues down the road.*

**UAHS Location of Research Activities**

UAHS Location of Research Activities	
Banner - University Medical Center Phoenix	No
Banner - University Medical Center South	No
Banner - University Medical Center Tucson	No

**If your project occurs in one of the identified Banner facilities, please ensure the correct facility is marked Yes here.**



## Co-I/Key Person Review

Co-Investigators (Co-I) and Key Personnel have varying roles to play in sponsored projects.

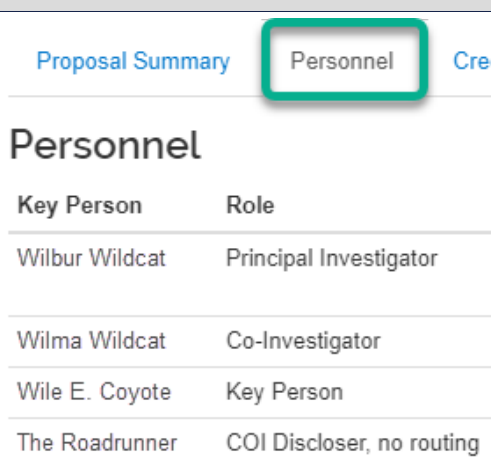
A **Co-Investigator (Co-I)** is an individual the PD/PI/Co-PI relies on to assume responsibilities above those of other personnel, who makes significant contributions to but does not have overall responsibility and authority for the sponsored project or program.

A **Key Person (KP)** is an individual who is essential to the performance of the sponsored project or program, and who contributes to the scientific design, development, or execution of the project or program in a substantive, measurable way, but who does not have overall responsibility and authority for the sponsored project or program.

By **approving** the proposal in **UAccess Research** the Co-I or KP:

- Confirms their identified role and effort on the project and that they have the necessary skills, abilities, and bandwidth to carry out that role
- Certifies that they are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency
- Indicates whether their involvement in the project does or does not involve an actual or potential conflict of interest or commitment, based on University policy

**Co-Is and Key Personnel should review the following for accuracy and communicate/coordinate any necessary changes with the PI and initiator of the Proposal Development Document.**

Image	Explanation										
<p><b>Personnel</b> - Changes to Personnel are considered a Major Change and will require re-routing for approvals so that those individuals can review and approve their roles and allocations.</p>  <table border="1" data-bbox="162 1554 649 1848"> <thead> <tr> <th>Key Person</th> <th>Role</th> </tr> </thead> <tbody> <tr> <td>Wilbur Wildcat</td> <td>Principal Investigator</td> </tr> <tr> <td>Wilma Wildcat</td> <td>Co-Investigator</td> </tr> <tr> <td>Wile E. Coyote</td> <td>Key Person</td> </tr> <tr> <td>The Roadrunner</td> <td>COI Discloser, no routing</td> </tr> </tbody> </table>	Key Person	Role	Wilbur Wildcat	Principal Investigator	Wilma Wildcat	Co-Investigator	Wile E. Coyote	Key Person	The Roadrunner	COI Discloser, no routing	<p><b>Does your role, Co-Investigator or Key Person match your expectation of your commitment to this project?</b></p> <p><b>Note:</b> In UAccess Research, Multi PI/Co-PI is only available for NIH proposals. For all other sponsors, everyone but the Lead/Contact PI is listed in UAccess Research as a Co-I. This does not mean they cannot be included as a Co-PI on the submission package.</p>
Key Person	Role										
Wilbur Wildcat	Principal Investigator										
Wilma Wildcat	Co-Investigator										
Wile E. Coyote	Key Person										
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Proposal Summary Personnel **Credit Allocation** Compliance

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Proposal Summary Personnel Credit Allocation Compliance **Attachments**

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Proposal (4)

Add attachments to this proposal

Download All

Hyperlinked files

File	Type *	Description
1	Project Summary	Project Summary (Abstract, Scope of Work)
2	Budget	Detailed Budget w/ Costshare
3	Budget Justification	

**Is your portion of the budget and budget justification correct?**

*Verify that your correct, current annual salary is being used for compensation calculations. If you have requested separate, budgeted line items, or have an individual budget, are they accurate? If you/your unit is responsible for any cost-share, whether mandatory/voluntary and committed/uncommitted, is it accurate and do you have approval from your unit(s)?*





## PD/PI/Co-PI/Co-I/Key Person Proposal Actions

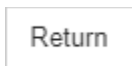
After reviewing the Proposal and coordinating any necessary changes with the initiator of the document, click the blue Approve button at the bottom of the Summary/Submit screen.



While the PI/Co-I/Key Person roles do have the option of returning a document to the initiator for edit, it is **strongly recommended** that they communicate/coordinate with the proposal initiator rather than doing so, as the proposal will need to re-route for approvals and this can add complications and delays.

Some changes can be coordinated with SPS without impacting routing. The proposal initiator can facilitate these changes. They also have the ability to recall the document for more extensive edits if that level of action is needed to make changes.

**If** a PI/Co-I/Key Person must return a proposal for edit, click on the white Return button at the bottom of the summary/Submit screen.



Then, enter the reason for return, add attachments (optional), and click the blue OK button.

Please Select ×

Are you sure you want to return this document?

Return Reason: \*

The Lead Unit will be changing from 9001 - Sponsored Projects to 9002 - Office of Research Contracts.]

Attachment:

Choose File No file chosen

OK Cancel