



## Sponsored Research Roles and Responsibilities

**PI:** Principal Investigator is the individual responsible for the programmatic and administrative aspects of a project or research. This document pertains only to **externally** sponsored projects/research.

**CFR:** Office of Corporate and Foundation Relations  
<http://www.smith.edu/future/cfr/resources.php>

**SRO:** Sponsored Research Office  
<http://www.smith.edu/deanoffaculty/sro.html>

**GA:** Grants Accounting - within the Finance Office  
<http://www.smith.edu/controller/grants.php>

ROLES AND RESPONSIBILITIES	PI	CFR	SRO	GA
<b>PRE-AWARD</b>				
Disseminate information about and promote funding opportunities from external funding sponsors		<b>X</b>		
Consult with prospective applicants about potential project ideas and funding sources		<b>X</b>		
Contact the Sponsored Research Office regarding intent to apply for external funding	<b>X</b>	<b>X</b>		
Review sponsor program guidelines and solicitations (primary party responsible for this is the PI)	<b>X</b>	<b>X</b>	<b>X</b>	
Where multiple applicants seek funds from the same source, ensure on-campus review to prevent conflicts among competing proposals		<b>X</b>	<b>X</b>	
Prepare the draft technical proposal, budget, and related materials	<b>X</b>			
When requested, review draft grant proposals and provide substantive editorial guidance		<b>X</b>		
Assist PI(s) where appropriate with data collection pertaining to institutional programs, outcomes, and performance		<b>X</b>		
Assist PI(s) where appropriate with organizing and/or convening meetings with relevant project partners on and off-campus		<b>X</b>		
Discuss any cost sharing/matching funds with one's direct supervisor and the Associate Provost	<b>X</b>			
Discuss leave time and course release issues with one's direct supervisor and the Associate Provost	<b>X</b>			
Assist with external grant submission procedures			<b>X</b>	
Act as a resource for budget preparation (i.e., salary figures, fringe benefit rates, indirect cost rates, appropriate categorization of budget items, etc.)			<b>X</b>	<b>X</b>
Maintain online sponsor agency user accounts for Smith-affiliated individuals			<b>X</b>	

<b>ROLES AND RESPONSIBILITIES</b>	<b>PI</b>	<b>CFR</b>	<b>SRO</b>	<b>GA</b>
Provide institutional certification letters where specified by sponsor agency (for e.g., NSF RUI and MRI programs)			X	
When Smith College will be a subrecipient on a proposal, work with the Sponsored Research Office to complete the requested subaward paperwork for the lead institution	X			
Complete and sign the college's Grant Proposal Processing Form; obtain the signature of other Smith co-investigators (when applicable) and your direct supervisor	X			
If applying to NSF or PHS/HHS, ensure that all college personnel* for the proposal complete and sign financial disclosure statements (see definition in Conflict of Interest Policy for Smith College Researchers)	X			
If applying to NIH, ensure the PI and any Smith co-investigators complete and sign a PI Assurance Certification	X			
Review completed/signed Grant Proposal Processing Form, draft proposal, and other applicable forms; obtain the two institutional administrative signatures			X	
Review and approve proposed budget			X	X
Review proposal and funding opportunity and inform PI and SRO of any potential compliance or post-award concerns				X
Submit proposal to sponsor/funding agency. If online submission by a college administrator is required, coordinate this process with the Sponsored Research Office	X		X	
When award notification received, inform Grants Accounting.	X	X	X	
Identify and secure required regulatory approvals (i.e., use of human subjects, animals, biosafety, and radiation safety.) This is required prior to the commencement of your research.	X			
<b>POST-AWARD</b>				
Review and approve the terms and conditions of the award				X
Review terms and conditions of the award with Grants Accounting, including allowable expenses.	X			
Establish and maintain externally sponsored grant funds in the financial accounting system (Banner)				X
Notify PI and appropriate parties of grant fund creation and any specific guidelines associated with the award				X
Conduct the research/program within the scope and objectives of the proposal	X			
Oversee grant budget management and authorize all expenditures	X			
Initiate hiring/assignment of personnel working on the sponsored research/program	X			
Provide authorization for grant hiring (Director of Sponsored Research)			X	
Ensure allowability of expenses (primary party responsible is the PI)	X			X

<b>ROLES AND RESPONSIBILITIES</b>	<b>PI</b>	<b>CFR</b>	<b>SRO</b>	<b>GA</b>
Prepare invoices and letter of credit draws (binding document guaranteeing payment) to sponsor agency or prime awardee when Smith is a subrecipient				<b>X</b>
Provide institutional oversight on cost transfers				<b>X</b>
Monitor subrecipients to ensure compliance with terms and conditions of award	<b>X</b>			<b>X</b>
Identify reportability of program income (i.e., if a grant/project sells an item or produces an item that is available on a retail level, the income produced needs to be reported to the sponsor agency)				<b>X</b>
Coordinate the preparation & submission of financial reports to the sponsoring agencies	<b>X</b>			<b>X</b>
Manage project personnel and ensure that activity is allocated to the appropriate award (where multiple awards are held by one PI)	<b>X</b>			
Prepare and distribute tri-annual salary effort certification reports				<b>X</b>
Ensure that effort certification reports for all applicable grant employees are completed	<b>X</b>			<b>X</b>
Track effort reporting and maintain documentation				<b>X</b>
Manage grant account receivables				<b>X</b>
Monitor overdrafts to ensure their timely resolution				<b>X</b>
Complete interim and final technical reports	<b>X</b>			
Initiate requests & provide oversight for re-budgeting, cost transfers, and carry-forwards (PI is primary initiator, GA provides support and complete transaction within financial accounting system)	<b>X</b>			
Provide assistance with communications concerning course changes and/or problems and issues that arise requiring permission from or consultation with sponsor/funding agency		<b>X</b>	<b>X</b>	
Assist PIs with online notifications and requests (for e.g., no-cost extensions)			<b>X</b>	<b>X</b>
Provide training regarding financial administration of sponsored research/programs				<b>X</b>
Prepare and review all third party agreements (i.e., subrecipient agreements)				<b>X</b>
Ensures financial compliance with applicable federal and state regulations and Smith College policies and procedures				<b>X</b>
Ensure closeout of grants: resolve any issues, ensure that all financial, technical, and other required reports have been submitted to sponsor	<b>X</b>			<b>X</b>
Inactivate award in financial accounting system; retain all post-award documentation in a manner consistent with the college's record retention policy				<b>X</b>
Retain project data, materials, and outcomes as required by sponsor.	<b>X</b>			
Coordinate all sponsored research/program audit activity				<b>X</b>