



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/giving/cfr_resources.php

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

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

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

ROLES AND RESPONSIBILITIES	PI	CFR	SRO	GA
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 investigators complete and sign financial COI disclosure forms and complete required training	X		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 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 Administration.	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			
POST-AWARD				
Review and approve the terms and conditions of the award				X
Review terms and conditions of the award with Grants Administration, 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			
Ensure allowability of expenses (primary party responsible is the PI)	X			X

ROLES AND RESPONSIBILITIES	PI	CFR	SRO	GA
Prepare invoices and letter of credit draws (binding document guaranteeing payment) to sponsor agency or prime awardee when Smith is a subrecipient				X
Provide institutional oversight on cost transfers				X
Monitor subrecipients to ensure compliance with terms and conditions of award	X			X
Work with IRB Assistant to ensure NSF RCR compliance when applicable to an award				X
Obtain updated annual FCOI disclosure forms from all investigators on NSF and PHS/HHS awards			X	
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)				X
Coordinate the preparation & submission of financial reports to the sponsoring agencies	X			X
Manage project personnel and ensure that activity is allocated to the appropriate award (where multiple awards are held by one PI)	X			
Prepare and distribute tri-annual salary effort certification reports				X
Ensure that effort certification reports for all applicable grant employees are completed	X			X
Track effort reporting and maintain documentation				X
Manage grant account receivables				X
Monitor overdrafts to ensure their timely resolution				X
Complete interim and final technical reports	X			
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)	X			
Provide assistance with communications concerning course changes and/or problems and issues that arise requiring permission from or consultation with sponsor/funding agency		X	X	X
Assist PIs with online notifications and requests (for e.g., no-cost extensions)			X	X
Prepare and review all third party agreements (i.e., subrecipient agreements)				X
Ensures financial compliance with applicable federal and state regulations and Smith College policies and procedures				X
Ensure closeout of grants: resolve any issues, ensure that all financial, technical, and other required reports have been submitted to sponsor	X			X
Inactivate award in financial accounting system; retain all post-award documentation in a manner consistent with the college's record retention policy				X
Retain project data, materials, and outcomes as required by sponsor.	X			
Coordinate all sponsored research/program audit activity				X