HOBART AND WILLIAM SMITH COLLEGES

Roles and Responsibilities for Sponsored Programs

This document pertains to externally sponsored grants, contracts and other awards, and is principally intended to serve as guidance for HWS faculty and staff.

Basic Description of Roles:

PI: Principal Investigator - the individual responsible for overall technical direction and administrative management of the Research or Project.

OSP: Office of Sponsored Programs - Pre-Award functions, ethical compliance and disclosures, non-financial regulatory compliance, non-financial post-award adminstration. Serves as Institutional liaison with Sponsors.

BO: Business Office - Post-Award financial administration and reporting, and financial regulatory compliance.

Provost: Project and proposal approval. Negotiation of release time with PI. Approval of Institutional Commitment. Selection of proposals for limited competitions.

Detailed Roles and Responsibilities

PRE-AWARD	PI	OSP	BO	Provost
Provide guidance and resources for grantsmanship and proposal development, and serve as point of contact with Sponsors.		x		
Contact OSP if intending to apply for external funding.	x			
Review sponsor's program guidelines and solicitations. (Primary responsibility lies with PI.)	x	x		
Discuss arrangements and timeline for submission of materials for review by OSP.	x	x		
Review Sponsor's guidelines and funding opportunity, and inform PI and Provost of any potential concerns.		x		
For limited submissions, coordinate selection process for Provost's Office.		x		
Prepare the draft technical proposal, budget, and related materials.	x			
When requested, review draft grant proposals and provide editorial guidance.		x		
Assist PIs where appropriate with obtaining available insitutional data as required by sponsor.		x		
Discuss any cost sharing, matching and Institutional contributions with Provost prior to budget development. OSP can advise. PI must obtain Provost approval prior to budget development.	x	x		x
Obtain approval from Provost for requests for leave and course release prior to budget development; PI to initiate discussion.	x			x

PRE-AWARD	PI	OSP	BO	Provost
Act as a resource for budget preparation (e.g., salary figures, fringe benefit rates, indirect cost rates, appropriate categorization of budget items.)		x		
Review and confirm accuracy and appropriateness of proposal budget and justification prior to PI obtaining PAF approvals, consulting with Business Office as needed.		x		
Determine responsible party for proposal submission, and either submit or coordinate with PI as required.		x		
Maintain online sponsor agency user accounts.		x		
Provide or obtain Institutional certification letters as required by sponsor or agency (e.g., NSF RUI and MRI programs).		x		
Provide, coordinate preparation of, or review HWS letters of Institutional Commitment for collaborative projects and subawards, as needed.		x		
When HWS will be a subrecipient on a proposal, work with the OSP to complete the requested subaward proposal and related materials to be submitted by OSP to lead institution.	x	x		
For collaborative proposals or when HWS is receiving a subaward, act as liaison with lead or other institutions' Sponsored Programs Offices.		x		
Complete and submit the Proposal Authorization Form (PAF). Obtain institutional approvals via OPRA. (Provost requires 2 days for review.) Approvals should be obtained a minimum of 2 working days prior to submission deadline.	x			
Review PAF and follow up with PI on requirements for IRB, IBC, IACUC, Export Controls and other non-financial compliance areas.		x		
If applying to a federal agency, confirm that all HWS personnel required to disclose complete and sign the relevant conflict of interest disclosure and deliver to OSP prior to submission.		x		
Pre-review Proposal Authorization Form, proposal, budget and other applicable materials on OPRA, noting any issues.		x		
Review Proposal Authorization Form, proposal, budget and other proposal materials. (Note to PI: Allow minimum 2 working days in advance of deadline for Provost to review and request any revisions.) Approve the proposal in OPRA.				x
If notification of award is received directly by PI, inform OSP and send award notice and related communications to OSP.	x			
Identify (OSP) and secure (PI) required regulatory approvals (i.e., use of human subjects, animals, biosafety, and radiation safety.) This is required prior to the commencement of research and prior to account setup.	x	x		

POST-AWARD	PI	OSP	BO	Provost
Review, negotiate and accept the terms and conditions of the award, in consultation with other offices as needed.		x		
Provide PI with information regarding sponsor and HWS expectations for programmatic oversight of the Project.		x		
Provide PI with information and support regarding financial management of the Project.			x	
Confirm that all required approvals and ethical compliances have been obtained and satisfied prior to setting up of grant account. Follow up with PI as needed.		x		
Prepare grant program setup form, including summary of terms and conditions for distribution to PI, Business Office and other offices.		x		
Establish and maintain externally sponsored grant and cost share accounts.			x	
Notify PI and other offices of program creation and account number			x	
Conduct and manage the research/program according to the scope and objectives of the proposal and HWS requirements.	x			
Manage personnel working on Project.	x			
Monitor grant budget and authorize all expenditures, except own salary, in collaboration with BO.	x			
Prepare and submit requests for payment, according to guidelines and policies.	x			
Submit requests for rebudgeting to BO, in consultation with OSP as required.	x			
Confirm allowability of project expenses.			x	
If programmatic, technical or budgetary modification to project is anticipated, contact OSP to determine whether sponsor approval is required.	x			
Act as Institutional liaison with Sponsor on behalf HWS and PI.		x		
Prepare and process invoices and drawdowns for receipt of funds.			x	
Execute cost transfers/journal entries.			x	
Conduct periodic monitoring of financial status of project accounts.			x	
Monitor subrecipients' technical performance to ensure scope of work is being followed and timetable is adhered to. Consult with OSP regarding options if satisfactory progress is not being made.	x			
Assess and monitor subrecipients to ensure compliance with terms and conditions of award, including flow-down requirements.		x		
Review subrecipients' A-133 or other audit documentation, advising OSP if deficiencies that could increase risk for issuance or continuation of subaward are found.			x	

POST-AWARD	PI	OSP	BO	Provost
Prepare and submit technical and progress reports as required by Sponsor.	x			
Coordinate with PI regarding technical and fiscal reporting on subawards under HWS prime awards.		x		
Coordinate the preparation and submission of financial reports to Federal and State agencies, as required.			x	
Confirm accuracy of fiscal information in financial reports submitted directly to Sponsors by OSP or PI.			x	
Distribute and collect effort certification from HWS personnel.			x	
Ensure that effort certification reports for all applicable grant personnel have been completed.			x	
Track own effort (PI) and maintain documentation.	x			
Complete and submit interim, progress, final and any additional technical reports, as required by Sponsor. OSP to review as needed.	x			
If PI reports include financials, confirm that fiscal information to be submitted with the report is accurate. (PI to request confirmation.)			x	
Submit any additional or special PI reports as required by Sponsor.	x			
Prepare and submit other special reports in consultation with PI and Business Office, as required by Sponsor.		x		
Coordinate communications concerning modifications and issues that arise requiring permission from or consultation with Sponsor.		x		
Initiate requests and provide oversight for re-budgeting, modifications and carry-forwards (PI is primary initiator, OSP submits, approves or provides support as required.) OSP notifies Business Office.	x	x		
Prepare and issue third party agreements under HWS prime awards (e.g., subawards, consulting agreements, MTAs, NDAs and any modifications, amendments and increments.)		x		
At project termination, inactivate award in financial accounting system; retain all post-award documentation in a manner consistent with Sponsor and HWS record retention policy.			x	
Collaborate to ensure completion of program closeout according to Sponsor requirements. Resolve any issues, confirm that all financial, technical, invention and other required reports have been submitted to sponsor prior to closing the program account.		x	x	
Retain project data, materials, and outcomes as required by sponsor.	x			
Manage Grant/Sponsored Program audit activity.			x	