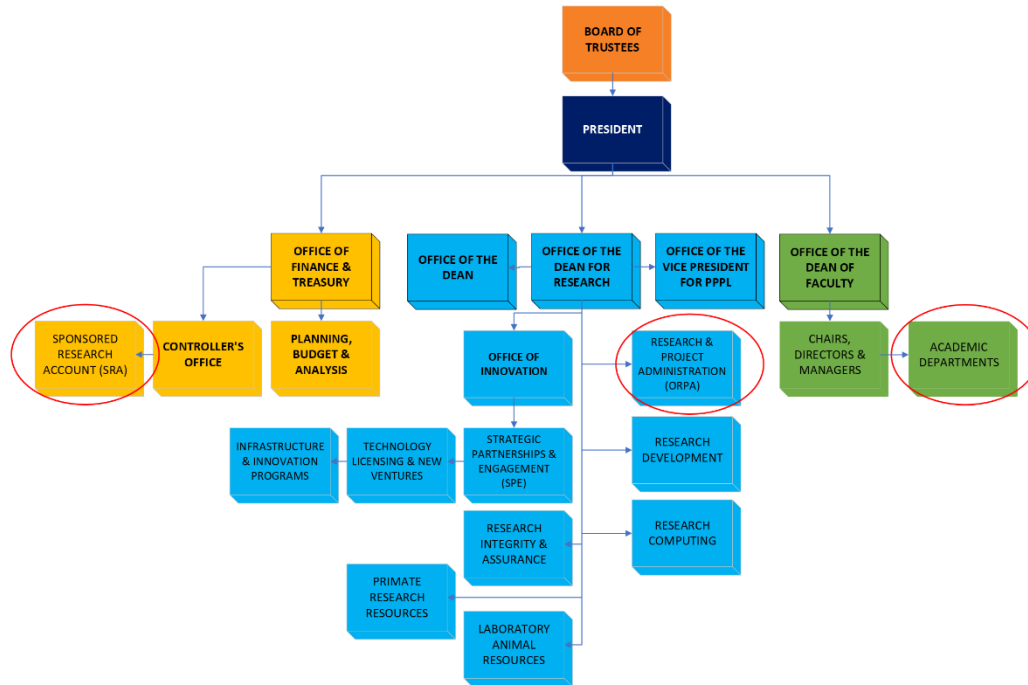




## Roles & Responsibilities

Pre-Award | Post-Award | Grants Accounting



### Principal Investigator & Academic Departments

A principal investigator is defined as the individual primarily responsible for the design, conduct, administration, and financial oversight of a research grant. The PI is responsible and accountable to the University and sponsor for the proper programmatic, scientific, and technical conduct, ensuring research is performed in accordance with any applicable policies and procedures.

While essential administrative support is provided to principal investigators by department and central administration, it is the investigator who is essentially financially responsible for all sponsor project spending and fulfilling sponsor reporting requirements. Additionally, the principal investigator must ensure safe and appropriate training for all project personnel for the duration of the period of performance, whether on or off-campus.

#### *Primary Pre-Award Responsibilities*

- Development of proposal scholarly and budgetary content in accordance with University and sponsor guidelines, additionally abiding by any deadline, routing and approval requirements.
- Intellectual property reporting.
- Proper handling of any hazardous materials.
- Equipment and asset acquisition, handling, usage, tracking and disposal.
- Providing current and accurate disclosure information in accordance with University and sponsor regulations.
- Dissemination of information to project personnel as appropriate regarding any conditional or situational activity regarding proper management of project tasks.
- Completion of required sponsor and University certifications.
- Disclosing any foreign influences or conflicts of interest.
- Providing accurate and complete transparency around the project inclusion of human subject/animal/biohazardous project material involvement and following proper protocol at all stages prior to initiating any activity.
- Request cost-share/matching funds in accordance with University and sponsor policy.
- Provide transparency around related project or agreement involvement, whether funded or unfunded.
- Outline fabrication details.

- Identifying subcontractors and collaborators, connecting the appropriate parties to the Grants Administrator to secure necessary proposal documents.

#### *Primary Post-Award Responsibilities*

- Review sponsor award document(s) included with internal Notice of Award (NOA).
- Initiate the process of personnel hiring or transfer to a project.
- Initiate all required subaward agreements and subsequent amendments.
- Ensure that purchases on sponsored projects are allowable, allocable and reasonable.
- Notify ORPA of any significant project changes (e.g., change in key personnel or effort) to be communicated to the sponsor.
- Certify payroll/effort on respective projects appropriately to reflect payroll/effort expended on the project.
- Assist in the project's financial closeout in accordance with Sponsored Research Accounting and sponsor guidelines.
- Ensure subaward invoices are in accordance with project expenditures. Approve for payment.
- Coordinate any space requirements.
- Submit timely progress reports in accordance with sponsor requirements.

### Department Administrator

Department administrators are responsible for providing pre-award and post-award administration support during the lifecycle of an award ensuring each step is in compliance as per the policies and procedures of both the University and related sponsors.

#### *Pre-Award Primary Responsibilities*

- Proposal preparation in accordance with University and sponsor guidelines, coordinating activity with the Principal Investigator and any associated collaborators/subrecipients.
- Routing a funding proposal through Princeton ERA, initiating receipt of necessary University approvals prior to final proposal submission to sponsor.
- Guide principal investigators regarding proposal submission guidelines, deadlines, compliance requirements, project minimum effort requirements, budgetary guidelines and allowances, and other nuances with proper proposal package preparation and eventual submission.
- Facilitating the receipt of collaborator and subrecipient proposal documentation.
- Verify principal investigator eligibility and request necessary approvals.
- New sponsors requests routed to [erasupport@princeton.edu](mailto:erasupport@princeton.edu).
- Identify any cost-share requirements.
- Verify allowability of pre-award spending and monitor any associated expenditures.
- Coordinate the preparation of current & pending (other) support and biographical sketch documents for submission.
- Verify faculty and senior/key personnel conflict of interest disclosure completion within Princeton ERA.

#### *Post-Award Primary Responsibilities*

- Verify budgets (including satellite budgets), financial transactions (e.g. cost transfers, labor accounting allocations, requisitions) and confirm that cost sharing commitments are met.
- Regularly review and approve project transactions.
- Timely complete necessary adjustments to award changes and/or labor accounting.
- Review the terms and conditions of every award to determine whether prior approvals are necessary and coordinate sponsor notifications through Research & Project Administration as appropriate.
- Review payroll/effort to PI certification.
- Coordinate the initiation of supplier contracts and change orders with department purchasing personnel through PeopleSoft and ensure all requested information is complete and accurate.
- Manage project projections in coordination with PI's to ensure proper allocation of project expenses for the period of performance.
- Verify accuracy of proposal disclosure documentation (current & pending/other support and biographical sketch) for the life of an award and coordinate updates with sponsors as necessary.
- Route subrecipient requisitions through Princeton ERA Agreements to initiate subaward funding.

### Central Administration

**PRE-AWARD & POST-AWARD:** The **Office of Research and Project Administration (ORPA)** coordinates all proposal activity in collaboration with Department Administrators and manages the final review, approval and institutionally endorses proposal



applications in accordance with University and sponsor regulations. Additionally, ORPA reviews and negotiates sponsored research agreements and contracts aligning with fundamental research requirements and University policies.

#### *Primary Responsibilities*

- Assist with proposal development
- Review, approve and institutionally endorse proposal applications, ensuring compliance with University and sponsor requirements.
- Research security, including export controls and research data security
- Subaward management
- Sponsor prior approvals including pre-award spending, rebudgeting, change in key personnel and no-cost extensions.
- Carryover requirements and approvals.
- Manage PI transfers requests and terminations.
- Agreement negotiation (funded and non-funded agreements)
- Chartstring setup and dissemination of the Notice of Award with associated sponsor terms and conditions.

Sponsored Research Accounting (SRA) performs post-award functions, including:

#### *Administrative Responsibilities*

- Manage portfolio of awards for assigned departments and serve as primary point of contact
- Set-up contracts for new awards, review amendments & update billing limits
- Interface with central offices and sponsors and other key stakeholders to resolve issues
- Serve as subject matter expert
- Monitor expenditures for allowability and compliance with sponsor and University policies
- Review and approve late cost transfers
- Prepare and submit financial reports
- Oversee award closeout process

#### *Cash Responsibilities*

- Manage monthly billing process
- Generate invoices to sponsors
- Initiates draw down process from federal sponsors
- Prepare and submit quarterly aggregate financial reports
- Manage cash flow for accounts receivable
- Follow-up on aging collection items
- Reconcile balance sheet accounts to subsidiary ledgers monthly

#### *Compliance Responsibilities*

- Oversee effort certification process
- Facilitate the annual Uniform Guidance single audit and other sponsor audits, investigations and reviews as needed
- Lead initiatives involving policy and system changes to strengthen internal controls
- Oversee special provisions (e.g. NIH Salary Cap, Fly America Act)



*[Last revised date: 9-30-2024]*

