

# Stephen F. Austin State University

## Principal Investigator / Project Director Responsibilities

Awards from external sources (grants, contracts, cooperative and other sponsored agreements) are made to SFA on behalf of the Principal Investigator/Project Director who prepared the proposal.

The President of SFA, or his/her designated signature authority, is the only individual who can bind the University to the terms of a sponsored agreement by signing the proposal and contract documents.

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### **Principal Investigator (PI) / Project Director (PD) Acceptance of Responsibility**

As the PI/PD, you are solely responsible for management of the funded project. Some projects have a separate director and/or Co-PIs in addition to the PI. In these instances, the project director is responsible for overseeing the day to day management/activities of the program, Co-PIs assist in project development and oversight, but the PI retains ultimate responsibility.

*PI/PD signatures on the following documents signify your acceptance of responsibility to conduct project activities as approved by the funding agency and to adhere to sponsor and University guidelines, policies and procedures:*

- *Proposal Clearance and Compliance Forms at the proposal stage*
- *Request to Establish a New Banner Fund at the award stage*
- *Award Orientation Checklist (as applicable) at the award stage*

**Pre-award Responsibilities:** Notify ORSP as early as possible in the proposal process so SFA has the time to review and approve your proposal prior to the proposal deadline.

- Contact ORSP a minimum of two weeks prior to the submission deadline for consultation and to learn what proposal clearance materials are needed and what the internal deadlines will be.
  - Provide ORSP with program guidelines
  - Meet with ORSP to develop your budget
- Follow SFA's proposal clearance process.
  - Complete the Proposal Clearance and Compliance Forms (PCF), and others as required by ORSP (Indirect Cost Waiver, Cost-share Detail Form, Program Income Form, etc.). Attach the proposal, budget and all required forms to the PCF. Obtain signatures of any Co-PI/PDs.
  - Route the internal forms above and the proposal package (final narrative, budget, sponsor forms, etc.) to the appropriate chair(s) and dean(s) to obtain their signatures. Please note that if using campus mail, it could add a week to the routing process.

- Third, route the package approved by the chair/deans to ORSP no later than three working days before the due date (earlier if ORSP has given you an earlier deadline). If there is a tight deadline, the PI/PD will want to walk all paperwork to the required persons for approval and signature.

**Post-award Responsibilities:** The PI/PD has overall responsibility for the successful conduct of the project by performing the following duties:

- Conduct the project according to the terms outlined by the sponsor in the agreement, agency guidelines, and applicable regulations;
- Adhere to compliance requirements (such as human or animal subjects in research, responsible conduct of research, financial conflict of interest, biosafety, etc.);
- Spend funds according to the sponsor-approved budget;
- Monitor grant funds regularly to ensure that all charges are appropriate to the award (reasonable, allowable, allocable), directly support the project's objectives or scope of work, and are processed in accordance with university policies:
  - Monitor subawards and vendor contracts to ensure that work progresses as necessary (contractor meets all deadlines, submits required reports, invoices for work, etc.)
  - Process cost transfers and budget changes through ORSP;
  - Reconcile known expenditures with Banner.
- Process amendments/modifications/no-cost extension requests requiring sponsor approval through ORSP for institutional approval before submission to the sponsor;
- Develop and submit technical and programmatic reports in a timely manner, and copy or notify ORSP of submission;
- Report and certify effort accurately (both grant paid and cost-shared);
- Establish and maintain contact with the sponsor program officer, as needed; and
- Process grant files for retention after project end and ensure that files are retained per the SFA retention policy (ORSP will notify you of the required retention date after the project ends).

**Close-out Responsibilities:** The PI/PD has the responsibility to:

- Follow any ORSP close-out procedures sent to you towards project end;
- Reconcile grant budgets and verify that all expenditures have posted to the grant fund;
- Prepare the final programmatic report as required by the sponsor and copy ORSP on the submission; and
- Process grant files for retention using the date provided by ORSP.