

Roles and Responsibilities within Grant Development and Management

This document is intended to serve as guidance for HCC faculty and staff, and pertains to externally sponsored grants, contracts and other awards from private, state, and federal funding agencies.

Basic Description of Roles:

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

What is the difference between a PI, co-PI, and senior personnel on a grant?

A **Principal Investigator (PI)** is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research. In some cases, a PI is also known as a **project coordinator** or **project director**. A project coordinator or director is responsible for the day-to-day management of all activities funded through the grant. At the director level, this person is responsible for the supervision of staff funded through the grant.

Co-PIs are key personnel who have responsibilities similar to that of a PI on research projects. While the PI has ultimate responsibility for the conduct of a research project, the Co-PI is also obligated to ensure the project is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

HCC faculty and staff may be involved as **senior personnel** on a project without the same responsibilities of a PI or Co-PI. These faculty are not responsible for the conduct of the project and are not a signatory to an MOU. Faculty participants may participate in the research, may collect salary, and may have a role in publications.

A grant coordinator is a faculty or staff member who is responsible for the day-to-day management of a grant project. This person may be different than

GO: Grants Office - Pre-award functions, ethical compliance and disclosures, non-financial regulatory compliance, non-financial post-award administration. Serves as institutional liaison with external sponsors.

BO: Business Office (*includes the Comptroller and Grants Accountants*) – Pre-award review and approval of budgets, post-award financial administration and reporting, overall financial regulatory compliance.

Admin: (*Includes the President's Office, Vice Presidents and Senior Personnel, Authorized Signatories, Human Resources, Academic Affairs, and Deans*) Project and proposal approval by Cabinet. Deans approve release time with PI. President gives approval of institutional commitment and leads selection of proposals for limited competitions. Human Resources provides guidance on staffing and employment conditions.

Detailed Roles and Responsibilities

PRE-AWARD	PI	GO	BO	Admin
Provide guidance and resources for grantsmanship and proposal development, and serve as point of contact with Sponsors.		x		
Contact GO if intending to apply for external funding.	x			

Review sponsor's program guidelines and solicitations. (Primary responsibility lies with PI.)	x	x	x	
Discuss arrangements and timeline for submission of materials for review by GO.	x	x	x	
Review Sponsor's guidelines and funding opportunity, and inform PI and Admin of any potential concerns.		x		
For limited submissions, coordinate selection process for President'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 institutional data as required by sponsor.		x	x	x
Discuss any cost sharing, matching and Institutional contributions with Grants Manager prior to budget development. GO can advise. PI must obtain Comptroller approval prior to budget development.	x	x	x	x
Obtain approval from Dean for requests for leave and course release prior to budget development; PI to initiate discussion.	x			x

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 necessary 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.		x		

PRE-AWARD (cont'd)	PI	GO	BO	Admin
Provide, coordinate preparation of, or review HCC letters of Institutional Commitment for collaborative projects and subawards, as needed.		x		
When HCC will be a subrecipient on a proposal, complete the requested subaward proposal and related materials to be submitted by GO to lead institution.	x	x		
For collaborative proposals or when HCC is receiving a subaward, act as liaison with lead or other institutions' Grants Offices.		x		
Complete and submit the Feasibility Form. Obtain institutional approvals. Approvals should be obtained a minimum of 2 working days prior to submission deadline.	x			
Review Feasibility Form and follow up with PI on requirements for IRB, Export Controls and other non-financial compliance areas.		x		
If applying to a federal agency, confirm that all HCC personnel required to disclose complete and sign the relevant conflict of interest disclosure and deliver to GO prior to submission.		x		
Review Feasibility Form, proposal, budget and other applicable materials, noting any issues.		x		
Review Feasibility Form, proposal, budget and other proposal materials. (Note to PI: Allow minimum 5 working days in advance of deadline for Administrators to review and request any revisions.)				x
If notification of award is received directly by PI, inform GO and send award notice and related communications to GO.	x			
Identify (GO) 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.	x	x		

POST-AWARD	PI	GO	BO	Admin
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 HCC 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		
Forward grant award information, 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 HCC requirements.	x			
Manage personnel working on Project.	x			
Monitor grant budget and authorize all expenditures, except own salary, in collaboration with Grants Management team.	x			
Prepare and submit requests for payment, according to guidelines and policies.	x			
Submit requests for rebudgeting to the Grants Management team, in consultation with GO as required.	x			
Confirm allowability of project expenses.			x	
If programmatic, technical or budgetary modification to project is anticipated, contact GO to determine whether sponsor approval is required.	x			
Act as Institutional liaison with Sponsor on behalf HCC 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 GO 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		

POST-AWARD (cont'd)	PI	GO	BO	Admin
Review subrecipients' single audit documentation, advising GO if deficiencies that could increase risk for issuance or continuation of subaward are found.			x	
Prepare and submit technical and progress reports as required by Sponsor.	x			
Coordinate with PI regarding technical and fiscal reporting on subawards under HCC 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 GO or PI.			x	
Distribute and collect effort certification from HCC 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. GO 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; GO submits, approves or provides support) GO notifies Business Office.	x	x		
Prepare and issue third party agreements under HCC awards (e.g., subawards, consulting agreements, 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 HCC 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	