

PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR (PI/PD) RESPONSIBILITIES ON SPONSORED PROJECTS

As principal investigator (PI) or project director (PD) on a sponsored project, you will have overall responsibility – fiscal and programmatic – for the conduct of the project described in the proposal and/or awarding document. In the PI/PD role, you will have four major responsibilities:

1. performing the work as outlined in the proposal application;
2. exercising proper stewardship of funds;
3. complying with all university, sponsor, legal and regulatory requirements; and
4. reporting all required information to the sponsoring agency and the university's Office of Sponsored Programs.

In fulfilling these responsibilities, you are to ensure the proper allocation, timeliness and accuracy of cost charges and transfers; adherence to publication requirements; submission of programmatic reports; accurate and timely disclosures on Other Support and Biosketch forms, and corrections if errors or omissions are identified; disclosure of financial and other conflicts of interests; and compliance with specific terms and conditions of the award.

Further, you are required to properly report your effort on externally sponsored activities by certifying your own effort, and the effort of your research support staff if applicable, quarterly in the web-based Effort Certification and Reporting Technology (ECRT) system at <http://www.nova.edu/osp/effort-reporting/index.html>. **Effort that is cost-shared to your sponsored project must also be certified in ECRT.** All employees working on your sponsored project must report their effort quarterly in the ECRT system. The total percent of effort for any personnel must not exceed 100%.

All award transactions must be approved by you, as the PI/PD, and the authorized college/center official. Your approval of an expenditure or obligation of funds is your attestation that the cost is allocable (based on direct/proportional benefit), reasonable, and necessary to the project. With the exception of journal transfers, which are sent directly to Contracts and Grants Accounting (CGA) in Financial Operations, all non-salaried expense transactions (i.e., purchase orders, check requests, travel reimbursements, travel authorizations involving foreign travel) shall be routed via Ariba to the Office of Sponsored Programs (OSP). If your project involves a subaward, you are responsible for monitoring the subrecipient including monitoring implementation of the work to ensure appropriate progress/completion, reviewing and approving subrecipient invoices, and verifying that technical reports are completed appropriately.

OSP and CGA provide oversight to, and are available to assist you in, the management of your award. Your assigned OSP Grant Officer can help prepare and process award transactions, which must be routed to OSP for review/approval and/or retention in OSP's official award file. Examples of award transactions include rebudgets, prior approval requests to the sponsoring agency, and programmatic reports. The OSP must be informed of any scheduled site visits from the sponsoring agency, in order for the office to assist you in planning and preparing for the visit, as appropriate. Financial data/reports and invoices must be prepared in cooperation with, and authorized/submitted by, your CGA Grant Accountant.

CERTIFICATION (COMPLETED VIA THE PROPOSAL APPROVAL RECORD FORM):

The PI/PD's signature on the Proposal Approval Record (PAR) form serves as a certification that they have read and understand these terms and their responsibilities as PI/PD on the sponsored project to which they are applying. In addition, the PI/PD's signature on the PAR reflects that they have read the pertinent Office of Sponsored Programs policies, accessible from the OSP web site at <http://www.nova.edu/osp/policies/index.html>, and the *Division of Responsibilities for Research and Sponsored Programs*, located at <http://www.nova.edu/rtt/dor/division-of-responsibilities-for-research-and-sponsored-programs.pdf>.