



Grants and Research: Roles and Responsibilities

This document pertains only to **externally** sponsored projects/research.

Glossary

PI: Principal Investigator is the individual responsible for the programmatic and administrative aspects of a project or research.

CFR: Office of Corporate and Foundation Relations – dpinney@rider.edu

GD/TLC: Grants Development, Teaching and Learning Center – clearyelder@rider.edu

GA: Grants Accounting – mrutkowski@rider.edu

PRE-AWARD ROLES AND RESPONSIBILITIES	PI	CFR	GD/ TLC	GA
Disseminate information about and promote funding opportunities from external funding sponsors		X	X	
Consult with prospective applicants about potential project ideas and funding sources		X	X	
Contact Grants Accounting and CFR regarding intent to apply for external funding	X			
Review program guidelines and solicitations (primary party responsible for this is the PI)	X	X	X	
Where multiple applicants seek funds from the same source, ensure on-campus review to prevent conflicts among competing proposals		X	X	X
Prepare the draft technical proposal, budget, and related materials	X			
When requested, review draft grant proposals and provide substantive editorial guidance		X	X	
Assist PI(s) where appropriate with data collection pertaining to institutional programs or with University or College descriptions		X		
Assist PI(s) where appropriate with organizing and/or convening meetings with relevant project partners on and off-campus		X	X	
Discuss any cost sharing/matching funds with one's direct supervisor and the Associate Provost	X			X
Act as a resource for budget preparation for government grants (i.e., salary figures, fringe benefit rates, indirect cost rates, appropriate categorization of budget items, etc.)			X	X
PRE-AWARD ROLES AND RESPONSIBILITIES (cont'd)	PI	CFR	GD/TLC	GA

Maintain online sponsor agency user accounts on behalf of Rider individuals				X
Provide institutional documentation where specified by sponsor agency				X
When Rider will be a sub-recipient on a proposal, work with Grants Accounting to complete the requested sub-award paperwork for the lead institution	X			
Complete and sign the college's Grant Proposal Approval Form and secure approval by the appropriate Dean.	X			
Submit Grant Proposal Approval Form, draft proposal, and draft budget two weeks prior to submission deadline	X			
Review and approve proposed government grant budget				X
Review proposal and funding opportunity and inform PI and SRO of any potential compliance or post-award concerns				X
Review and submit all governmental grant applications.				X
Inform Grants Accounting when award notification is received.	X	X	X	
Identify and secure required regulatory approvals (i.e., use of human subjects, animals, biosafety, and radiation safety.) This is required prior to the commencement of your research.	X			
POST-AWARD ROLES AND RESPONSIBILITIES	PI	CFR	GD/TLC	GA
Review and approve the terms and conditions of the award				X
Review terms and conditions of the award with Grants Accounting, including allowable expenses.	X			
Establish and maintain externally sponsored grant funds in the financial accounting system (Banner)				X
Notify PI and appropriate parties of grant fund creation and any specific guidelines associated with the award				X
Conduct the program within the scope and objectives of the proposal	X			
Oversee grant budget management and authorize all expenditures. After the PI signs off on all purchase orders, the GA signs off	X			X
Initiate hiring/assignment of personnel working on the sponsored research/program with Rider HR Office	X			
Ensure allowability of expenses (the primary party responsible is the PI)	X			X
Prepare invoices and letter of credit draws (binding document guaranteeing payment) to sponsor agency or prime awardee when Rider is a sub-recipient				X
Provide institutional oversight on cost transfers				X

POST-AWARD ROLES AND RESPONSIBILITIES (cont'd)	PI	CFR	GD/TLC	GA
Monitor sub-recipients to ensure compliance with terms and conditions of award	X			X
Report program income, when applicable.				X
Coordinate the preparation and submission of financial reports to the sponsoring agencies	X	X		X
Manage project personnel and ensure that activities are allocated to the appropriate award (where multiple awards are held by one PI)	X			
Prepare and distribute quarterly salary effort certification reports				X
Ensure that effort certification reports for all applicable grant employees are completed	X			X
Track "time and effort" reporting and maintain documentation				X
Manage grant account receivables				X
Monitor overdrafts to ensure their timely resolution				X
Complete programmatic interim and final reports	X	X		
Initiate requests & provide oversight for re-budgeting, cost transfers, and carry-forwards (PI is primary initiator, GA provides support and complete transaction within financial accounting system)	X			
Provide assistance with communications concerning course changes and/or problems and issues that arise requiring permission from or consultation with sponsor/funding agency		X	X	
Assist PIs with online notifications and requests (for e.g., no-cost extensions)		X	X	X
Provide training regarding financial administration of sponsored research/programs			X	X
Prepare and review all third party agreements (i.e., sub-recipient agreements)				X
Ensures financial compliance with applicable federal and state regulations and Rider University policies and procedures				X
Ensure closeout of grants: resolve any issues, ensure that all financial, technical, and other required reports have been submitted to sponsor	X	X		X
POST-AWARD ROLES AND RESPONSIBILITIES (cont'd)	PI	CFR	GD/TLC	GA
Inactivate award in financial accounting system; retain all post-award documentation in a manner consistent with the college's record retention policy				X
Retain project data, materials, and outcomes as required by sponsor	X			