



POLICY STATEMENT

The Principal Investigator (“PI”) has primary responsibility for the management of sponsored projects. Compliance with all pertinent laws, regulations, policies, and award terms are duties associated with this role. The PI has an obligation to plan and manage each project with diligence, to adhere to all terms and conditions of the award, to maintain an appropriate expenditure level, and to charge only those costs that are allowable, allocable and reasonable to a particular sponsored project.

PI responsibilities include:

1. Ensuring all spending meets award terms and is relevant and necessary to the project purpose, reasonable in amount, and in compliance with all laws, regulations, University policies, and sponsor guidelines.
2. Charging only those expenses which are allowable per applicable *OMB Circulars* and specific terms and conditions of the award.
3. Avoiding over-expenditure of award funds, and promptly identifying an alternative source of funds for any inadvertent excess spending.
4. Ensuring that goods and services are received during the project period.
5. Certifying that expenditures made for personnel services are in direct proportion to the time and effort expended on sponsored awards.
6. Complying with sponsor requirements for progress and final performance reports.
7. Obtaining prior approval, when required, for actions or expenditures such as those listed below. The PI must contact the Office of Research in a timely fashion, normally 30 days prior to the desired date, so they can determine if the change can be authorized internally or if the request must be referred to the sponsoring agency for approval.
 - a. [Pre-award expenditures](#)
 - b. [Budget modifications](#)
 - c. Equipment purchases
 - d. International travel
 - e. [No-Cost Extensions](#)
8. Reviewing account transactions, via **GLEZ** on at least a monthly basis in order to:
 - a. Ensure expenditures are within the project’s budget.
 - b. Ensure costs are consistent with the project schedule and incurred between the project’s start date and expiration date.
 - c. Identify and resolve potential erroneous postings.

Research & Sponsored Programs Accounting (“RSPA”) Administrators have primary responsibility for financial reporting, account billing and draws, and making adjustments to the financial system as appropriate. Responsibilities span the life of the award—from account

establishment through transaction processing and compliance review, cash management, financial reporting and account closeout procedures. Specifically, RSPA will:

1. Establish a fund number and enter awarded budget in the University's financial system.
2. Provide training and materials to researchers outlining University policies and procedures.
3. Assist in compliance reviews of expenditures.
4. Prepare and submit required billings/financial reports to the sponsor.
5. Monitor and pursue collection of all unpaid receivables.
6. Assist PI's in the financial closeout and termination of sponsored projects.
7. Coordinate all audits conducted by external audit agencies and Audit and Advisory Services and provide information required during reviews.

PI's should seek assistance with matters involving non-sponsored issues (hiring processes, processing requisitions, telecommunications charges) from the appropriate academic unit or responsible university administrative department such as Human Resources, Procurement Services and Telecommunications as needed.

Please contact your Research & Sponsored Programs Administrator:

1. When an error is detected during review of a grant award or other restricted account.
2. If you need help using **GLez**.
3. With questions regarding reporting requirements for your grant.
4. If you have budget questions regarding your restricted account.
5. With expenditure compliance questions.

Please refer to the [Office of Research](#) for their roles and responsibilities with respect to Pre-Award and Post Award activities.