

## **PI'S POST-AWARD RESPONSIBILITIES**

### **Check**

The Principal Investigator should oversee the completion of the following tasks:

#### **A. Terms and Conditions**

- 1. Review terms and conditions of award as well as sponsor's policies, particularly those pertaining to the expenditure of funds, and manage the project in accordance with these parameters
- 2. Discuss any concerns with RSC at the time award is received
- 3. Clarify what constitutes timely requests for prior approval (by both OCRO and sponsor) of proposed changes to the scope of work, the budget, or other conditions and of no-cost extensions. Note that program officers at federal agencies generally do not have the authority to approve changes in award terms and conditions (including scope of work, budget alterations, unallowable expenditures); these changes must be approved by agency grant and contract officers

#### **B. Personnel**

- 1. Initiate personnel actions and submit to RSC for approval and processing
- 2. Verify that Stipend recipients are properly enrolled and/or participating on the program
- 3. Review monthly labor reports
- 4. Complete semi-annual Time/Effort Certifications

#### **C. Technical**

- 1. Supervise the technical performance of the project

- 2. Establish system for maintaining research and/or other project-related records
- 3. Act immediately if any issues are identified that may involve conflict of interest and research misconduct
- 4. Notify RSC of completion of deliverables in a timely fashion
- 5. Monitor consultant, service, and subcontractor activity monthly

**D. Procurement**

- 1. Comply with requirements for competing procurements to the maximum practical extent by obtaining quotes from three suppliers or, if appropriate, justifying sole source procurement
- 2. Check award requirements for the use of small/minority/women-owned businesses
- 3. Initiate purchases through the Oracle Supply Chain (SC) module
- 4. Prepare a requisition in Oracle for a Purchase Order to encumber the total amount of funds committed in the subcontract when you receive a complete copy of the fully executed agreement (consult with RSC for help)
- 5. Monitor subrecipient work to verify progress commensurate with billings
- 6. Receive and approve invoices from the subcontractor, verifying that the subcontractor's costs are reasonable and necessary to accomplish the work

**E. Property**

- 1. Maintain purchase, location, and disposal records for capital equipment purchased with award funds

- 2. File property reports as required

**F. Regulatory requirements**

- 1. Ensure compliance with regulatory requirements (e.g., where project involves human subjects, use of animals, biohazards, OSHA workplace health and safety requirements)
- 2. Submit required documentation in accordance with University policies and procedures and immediately report violations (<http://www.gwumc.edu/research/>)

**G. Reporting**

- 1. Meet University and sponsor deadlines for continuation proposals, reports, and the submission of "products" of research

**H. Independent Contractors**

- 1. Satisfy requirements for hiring non-employee labor and support.
- 2. Avoid making commitments for independent contractors prior to receiving required OCRO approval.

**I. Preparing the Subaward/Subcontract**

- 1. All subrecipient agreements are drafted by the RSC's either on a cost-reimbursement or fixed price basis and approved by the Post-award Managers. The RSC will confer with the Principal Investigator prior to the issuance of the agreement to establish criteria for monitoring the performance of his or her subrecipient. Refer to Section [15.5](#) (<http://www.gwu.edu/~research/handbook/execution.htm#sec155>) for the PI's responsibility in the monitoring of his or her subrecipient(s). Subrecipient agreements will include appendices that contain the subrecipient's line item budget, statement of work or proposal, sample invoice, assurances and other appendices mandated for

inclusion from the prime award.

**J. Fiscal Responsibilities**

- 1. Manage the fiscal requirements of the project
- 2. Verify the allowability of any expense BEFORE it is incurred
- 3. Monitor expenditures made against the P/T/A(s) that funds your project
- 4. Run and review Oracle reports monthly to verify that expenditures are posting correctly, to initiate error correction or changes on labor charges through a Change in Status (CIS) Form for personnel or Departmental Correction Form (DCF) for Supply Chain items.
- 5. Cost sharing awards (identified with an award prefix "IXXS") to collect funds from cost sharers and ensure cost sharing commitment is posting
- 6. Reconcile transactions that post monthly
- 7. Consultants/service agreements: submit requests for payment in a timely manner

**K. Manage Administrative Requirements**

- 1. Manage the administrative requirements of the project to include overseeing project staff meetings, paperwork processing, coordination with core offices and so forth.

**L. Manage Project Travel**

- 1. In accordance with the University's Travel Policy, manage Travel activities, expenditures, records and reimbursements in order to ensure full and prompt recovery.

- 2. Obtain approval for travel to be charged to an award in advance of incurring expenses from your RSC
- 3. Submit Travel Reimbursement Form within 30 days of completion of travel

**M. Tuition Awards**

- 1. Record and reconcile all tuition awards made under the award

**N. Facilitate Project Close-out**

- 1. Coordinate award close out with RSC  
(<http://www.gwu.edu/~research/closeout.htm>)

**O. Post-Award Audit**

- 1. Support any Post-Award Audits as requested by OCRO, GCAS, or others as appropriate.

