

The Principal Investigator's Quick Guide for Sponsored Activities

• **SCIENTIFIC INTEGRITY.** The PI is responsible for all actions required to manage and complete the scientific aspects of the sponsored project including:

- a) assigning personnel to the appropriate project
- b) adhering to human subject and animal protocols and policies
- c) adhering to chemical, biological, physical and radiation safety
- d) maintaining the integrity of the project and safeguarding notebooks and scientific data
- e) monitoring the performance of subgrantee/subcontractors
- f) filing accurate and timely technical reports

In addition, issues involving scientific misconduct should be dealt with according to the Dartmouth's Misconduct Policy.

• **CONFLICT OF INTEREST.** The PI needs to be familiar with Dartmouth's Conflict of Interest policy (COI), to file a disclosure form annually, and to update a disclosure should a potential conflict arise. The PI must also ensure that project personnel have read the COI policy and have a current disclosure on file if appropriate.

• **EFFORT AND SALARY.** It is the PI's responsibility to make certain that payment of salary or wages to an individual charged to a given project is commensurate with the individual's contribution to that project. Time spent preparing proposals is not normally chargeable to grants or contracts.

• **FINANCIAL OVERSIGHT.** The ultimate responsibility for the management of the agency funds rests with the PI. Financial reports should be reviewed on a periodic basis to ensure the reasonableness of expenses and that expenses are allocated appropriately and follow agency regulations. PI's must review and approve invoices from subgrants/subcontracts to ensure appropriate payments for allowable costs and costs appropriate for the level of performance.

• **PROGRAM INCOME.** It is the PI's responsibility to initiate the recording, accounting, and allocation of program income. The PI must report program income to the federal funding agency on an annual basis (i.e., NIH checklist page) and to the Office of Sponsored Projects for inclusion on financial reports. The Department Chairperson should be informed in writing of program income exceeding \$5,000 per year.

• **OUTSIDE INCOME.** If total outside income (consulting fees, etc.) to the PI is greater than 20% of salary, it should be reported in writing to the Department Chairperson.

• **DATA RETENTION.** All original data are to be retained by the PI for a period of at least three (3) years after submission of the final report on the research project for which the data were collected, unless a longer retention period is specified by the sponsor.

Ref.:

Faculty Handbook

<http://www.dartmouth.edu/~dof/handbook.html>

Sponsored Research Manual, Office of Sponsored Projects Home page

<http://www.dartmouth.edu/~osp/resources/manual/>

NIH Grant Policy Statement 12/03

<http://grants2.nih.gov/grants/policy/policy.htm>

NSF Policy Manuals

<http://www.nsf.gov/bfa/dias/policy/index.jsp>

OMBCircularA110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

The Department Grant Administrator's Quick Guide for Sponsored Proposals/Awards *

- **ALLOWABLE COSTS TO SPONSORED PROJECTS.** The department administrator is responsible for charging and reviewing expenses to determine that only allowable and allocable direct costs are charged to sponsored projects.
- **MANAGEMENT OF SPONSORED BUDGETS.** The administrator assists the PI by providing financial reports for the PI's review. The department administrator also provides, on a timely basis, information and prepares documents for re budgeting, costsharing/matching, and cost transfers as requested by the PI. The department administrator provides the grant specialist with information for completion of financial reports and, at the end of project, provides information for closing reports.
- **EXPENSES AND REVENUES.** The department administrator is responsible for reconciling expenses and revenues of the grant against expected amounts. The administrator will ensure that all errors are corrected on a timely basis.
- **EFFORT REPORTING.** The department administrator provides information to the PI for compliance with the effort reporting system and processes payroll authorizations/labor distribution forms reflecting the correct effort.
- **CARRYFORWARD OF UNSPENT GRANT FUNDS.** It is the responsibility of the department administrator to know the standard rules for carryforward of unspent grant funds and to inform the grants manager if the PI has requested funds to be carried forward.
- **PROGRAM INCOME** The department administrator processes documents to record program income into the accounting system and provides information to the PI to report the income on agency documents.

* If the department has no grants administrator, then the above defaults to the PI.

Ref.: -

Sponsored Projects Home page, Sponsored Research Manual, *Allowable Costs*

<http://www.dartmouth.edu/~osp/resources/manual/post-award/costs.html>

Sponsored Projects Home page

<http://www.dartmouth.edu/~osp/>

Sponsored Projects Home page, Sponsored Research Manual, *Use of Unobligated Balances*,

<http://www.dartmouth.edu/~osp/resources/manual/post-award/priorapproval.html>

Public Health Service Policy Manual,

<http://www.nih.gov/grants/policy/gps/8postnew.htm#grants>

OMBCircularA-110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

Chairs' Quick Guide for Oversight of Sponsored Proposals/Awards

- **PROPOSAL REVIEW.** The chairperson's signature indicates assurance that the proposed project is appropriate to be conducted within the department/institution; that the personnel are qualified to conduct the project; that adequate space is available, on or off campus, for the project; and that the budget is appropriate for the goals of the project.
- **SPECIAL PROPOSAL REQUIREMENTS.** If the proposal requires cost sharing or matching funds, renovations, special equipment or other special needs, the chairperson should determine whether the department can support the special requirements and identify the resource to support the special requirements.
- **CONFLICT OF INTEREST/COMMITMENT.** The chairperson assures that any potential conflicts of interest are identified and addressed. Should a conflict arise, the chairperson should refer to the Institutional Conflict of Interest Policy.
- **PROGRAM INCOME.** The Department Chairperson provides oversight of program income within the department and assures that all the reporting requirements for program income have been met.
- **OUTSIDE INCOME.** Outside income greater than (20%) of base salary, should be reported to the Department Chairperson.

Ref.:

DCIS: Faculty Handbook, secIII, part 28;
Sponsored Research Manual, Office of Sponsored Projects Home page
<http://www.dartmouth.edu/~osp>
OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
National Institutes of Health Policy Guide,
<http://www.nih.gov/grants/policy/gps/8postnew.htm#grants>

The Dean's Quick Guide for Oversight of Sponsored Activities

- **PROPOSAL REVIEW.** The Dean assures that the project is within Dartmouth's mission and the budget is adequate relative to the scope of the project. The Dean has oversight for adherence to institutional compliance policies such as experimental use of animals, human subjects, hazardous substances, DNA research and other governing institutional policies and standards. The Dean should be informed of potential program income and the accounting for such income.
- **SPECIAL PROPOSAL REQUIREMENTS.** The Dean reviews requests for waiver of indirect costs (facilities and administration costs); renovation of space; providing matching or institutional funds (cost sharing); faculty release time; or other support and approve such commitments.
- **CONFLICT OF INTEREST/COMMITMENT.** The Dean should review proposals for any potential conflict of interest or conflict of commitment. If such a situation exists, the Dean should refer to the Dartmouth Conflict of Interest Policy. The Dean will have an oversight role where a conflict will be managed by Dartmouth as stated in Conflict of Interest policy. The Dean should refer to the Faculty Handbook for issues concerning Conflict of Commitment.
- **MISCONDUCT IN SCIENCE.** The appropriate Dean and Associate Provost are the first contacts to be made in reporting alleged misconduct. After receiving an allegation, they make a determination as to whether to proceed to the inquiry stage. The Deans play a critical role throughout the entire process and should be familiar with the Dartmouth's policy on Misconduct in Science.

Ref.:

DCIS: Faculty Handbook, secIII, part 28;
Sponsored Research Manual, Office of Sponsored Projects Home page
<http://www.dartmouth.edu/~osp>