# Roles & Responsibilities

**For Grants and Contracts (Excludes Clinical Trials and Philanthropy)**

<table>
<thead>
<tr>
<th>Category</th>
<th>PI</th>
<th>Department and/or Shared Services</th>
<th>Sponsored Programs Administration (SPA)</th>
<th>Fund Accounting</th>
<th>Relevant SOP/Checklist/Best Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify Funding Opportunities</td>
<td>Identify funding opportunity</td>
<td>N/A</td>
<td>• Manages the subscription to Pivot.</td>
<td>N/A</td>
<td>Funding Opportunities</td>
</tr>
</tbody>
</table>
| Limited Funding Opportunities                 | • Notify Department/Shared Services and/or Research Administrator of limited funding opportunity.  
• May also notify SPA of intent to apply.  
• Follow the Limited Submission Procedure  | • Notify SPA of PI intent to apply.  
• Follow the Limited Submission SOP.      | • Notify all research faculty by email of the limited submission opportunity, and provide general guidelines and deadline for submission of the pre-proposal items.  
• Coordinate the review and selection process with the SLC executive committee.  
• Notify the selected eligible PI of the committee's decision. | N/A             | Limited Submission Procedures         |
| Intent to Submit                              | • Notify Department or Shared Services of intent to submit.  
• May also notify SPA of intent to submit by completing the Advance Notice of Funding Submissions RedCap form. | • Send Monthly email requesting PI's to respond about proposals they intend to submit. (See Best Practice)  
• Submit to SPA by completing the Advance Notice of Funding Submissions RedCap form.  
• Set up intake meeting if needed. (This is recommended if this is PI's first submission).  
• Provide PI with list of requirements for submission and set/agree on due dates for proposal elements to be received. | • Provide Department/PI with a Redcap Form to notify SPA of planned submission.  
• See Link 'Advanced Notice of Funding Submissions'.  
• Assist Investigator with obtaining access to sponsor proposal submission system.  
• Meet with PI and/or Department Administrator to discuss submission timeline and submission requirements, if needed.  
• Provide PI with list of requirements for submission if Department support is not available. | N/A             | Advance Notice of Funding Submissions |
| Develop Research Plan                         | • Review Sponsor requirements  
• Write research plan and statement of work  
• Prepare other sections as necessary | • Proofread non-scientific section for spelling, grammar and formatting depending on time permitted for review. | • Provide assistance with interpretation of sponsor guidelines.  
• Provide assistance with budget preparation. | N/A             | Proposal Submission Timeline         |
| eRA Commons Account                           | • Notify Department Administrator that you need to Request eRA Commons Account.  
• May complete and Submit eRA Commons Request form | • Complete and Submit eRA Commons Request form. | • Approve eRA Commons Request form.  
• Establish eRA Commons account. | N/A             | eRA Commons Acct Request Form        |
| Develop Budget and Justification              | • Define personnel and other budget elements.  
• Develop budget justification document. | • Assist with developing budget in standard template.  
• Meet and discuss with PI to understand needs.  
• Review budget justification and ensure it matches budget. | • Provide detailed budget templates on website.  
• Review and provide feedback on budgets when submitted in portal as budget consultation in advance of the due date. | N/A             | Budget and Budget Justification      |
| Complete Non-scientific Sections of Proposal  | • Update biosketch content  
• Complete non-scientific sections of proposal as necessary | • May maintain biosketches and put into correct format and/or assist with updating.  
• Provide guidelines for other non-scientific sections.  
• Facilitate completion of sub recipient forms if applicable. | • Provide checklist for biosketches  
• Provide Sample Facilities & Resources page  
• Provide PowerPoint training on the Non-scientific components of an application. | N/A             | Biosketch Checklist                  |

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<tbody>
<tr>
<td><strong>Compile all Proposal Elements According to Sponsor Guidelines</strong></td>
<td>• Create and compile all relevant proposal documents.</td>
<td>• Review all proposal documents received from PIs.</td>
<td>• Provide checklist of required proposal items</td>
<td>N/A</td>
<td>Proposal Checklist Coming Soon!</td>
</tr>
<tr>
<td></td>
<td>• Send to Research Administrator for review.</td>
<td>• Follow-up on missing items</td>
<td>• Assist with the interpretation of the sponsor guidelines.</td>
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<tr>
<td></td>
<td>• Ensure all elements are in proper format and edit as necessary</td>
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<tr>
<td><strong>Obtain Commitments</strong></td>
<td>• Identify commitments that may be needed (Space, facilities, Cost Share and/or F&amp;A waiver)</td>
<td>• Department Chair will need to request in writing to Dr. Bean</td>
<td>• Review the proposal to be sure the commitments are accurately reflected in the proposal.</td>
<td>N/A</td>
<td>N/A</td>
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<td></td>
<td>• Review and approve any non-standard F&amp;A (indirect cost) rates.</td>
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<td>N/A</td>
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<td></td>
<td>• Ensure approval for commitment(s) have been properly obtained.</td>
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<td></td>
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<tr>
<td><strong>Enter Proposal into Research Portal</strong></td>
<td>• Create Master Project and Grant in Research Portal</td>
<td>• Assist with creating Master Project and grant in Research Portal</td>
<td>• Provide Portal training and training Materials.</td>
<td>N/A</td>
<td>RRP Grant Walk-through</td>
</tr>
<tr>
<td></td>
<td>• May upload all relevant proposal documents.</td>
<td>• Assist/upload all relevant proposal document</td>
<td>• Ensure that the portal is kept up-to-date with current version of the sponsor form packet.</td>
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</tr>
<tr>
<td></td>
<td>• Routing final application for PI and Departmental approvals.</td>
<td>• Routing final application for PI and Departmental approvals.</td>
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</tr>
<tr>
<td><strong>Complete Conflict of Interest Forms (For a proposal; NOT annual certification)</strong></td>
<td>• COI should be submitted at time of submission, but will be reviewed during JIT review.</td>
<td>N/A</td>
<td>• Will verify project specific COI disclosure has been completed at JIT.</td>
<td>N/A</td>
<td>COI Tip Sheet</td>
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<td>• Will verify that COI training has been completed.</td>
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<tr>
<td><strong>Enter proposal into Sponsor System</strong></td>
<td>• Depending on department structure, PI may be responsible for entering proposal into sponsor system</td>
<td>• Enter proposal into sponsor system</td>
<td>• Assist with questions and concerns.</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Establish login, if applicable</td>
<td></td>
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</tr>
<tr>
<td><strong>Proposal Review and Submission</strong></td>
<td>• Request SPA budget consultation.</td>
<td>• Department Chair or other designated person will review and approve</td>
<td>• Reviews for completeness and compliance with sponsor and university policies and guidelines.</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>• Route the &quot;FINAL&quot; proposal in the RRP for PI and Departmental approvals.</td>
<td>• Monitor progress and address questions and comments from SPA</td>
<td>• Provide institutional authorization and submit proposal to sponsor</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If proposal application is not submitted via RRP, inform SPA when the final version is ready for submission</td>
<td>• Make appropriate recommended changes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>JIT Process</strong></td>
<td>• Notify SPA, Department or Shared Services and/or Research Administrator of JIT request and due date</td>
<td>• Assist with collection of necessary documentation</td>
<td>• Review and submit JIT to sponsor.</td>
<td>N/A</td>
<td>JIT Review Checklist</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Verify Regulatory Approvals are in place.</td>
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</tbody>
</table>

Last Updated 11/12/2020
## Roles & Responsibilities

**For Grants and Contracts (Excludes Clinical Trials and Philanthropy)**

| Award Set-up: Activity Created  
and budget loaded in LINK | PI | Department and/or Shared Services | Sponsored Programs Administration (SPA) | Fund Accounting | Relevant SOP/Checklist/Best Practice |
|---------------------------|----|----------------------------------|----------------------------------------|----------------|-------------------------------------|
| ▪ Provide input for any budget necessary budget revisions  
▪ Ensure COI is complete | ▪ Provide revised budget if necessary and assist with collecting other documents as needed | ▪ Receive Notice of Grant Award and forward to PI and Dr. Bean.  
▪ Contact the sponsor if errors are found in the award documents. | ▪ Review terms and billing  
▪ Establish activity in LINK  
▪ Load budget from NGA or budget provided from department/PI  
▪ Send notification of activity set up to PI and Department Administrator | N/A | N/A |

<table>
<thead>
<tr>
<th>Award Set-up: Payroll distributions</th>
<th>PI</th>
<th>Department and/or Shared Services</th>
<th>Sponsored Programs Administration (SPA)</th>
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<tbody>
<tr>
<td>▪ Review effort and agree to labor allocation changes as needed</td>
<td>▪ Set up payroll distributions</td>
<td>▪ Reviews and approves LCTs &gt; 90-days.</td>
<td></td>
<td>N/A</td>
<td>Best Practice: Setting up Labor Distributions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Establishing Subawards / Subcontracts</th>
<th>PI</th>
<th>Department and/or Shared Services</th>
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</table>
| ▪ Review Sub budgets and statement of work | ▪ Collect and review Sub documents  
▪ Submit request into Research Portal  
▪ Monitor progress to ensure sub is fully executed | ▪ Prepare the appropriate outgoing sub award agreement and any amendments thereafter, including incorporation of sponsor flow-down provisions, and any other information necessary to ensure compliance with federal regulations.  
▪ Coordinate with Legal Affairs and other institutional office as needed.  
▪ Execute sub awards  
▪ Works with PI in the event sub recipient performance or programmatic issues arise during the period of performance; notifies sponsor as needed. | ▪ Update sub award activity in LINK information per the agreement by increasing or creating a new Purchase Order. | N/A | N/A |

<table>
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<tr>
<th>Paying Sub awardees / Subcontractors</th>
<th>PI</th>
<th>Department and/or Shared Services</th>
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</table>
| ▪ Confirm Sub awardees have completed the work and sign off on invoice | ▪ Review invoice with PI and obtain signature approval.  
▪ Send to Fund Accounting for Payment | ▪ Receives invoices and sends to Department Administrator for PI approval  
▪ Will forward approved invoice to Accounts Payable for payment. | | N/A | N/A |

<table>
<thead>
<tr>
<th>Conduct Research and Manage Expenses</th>
<th>PI</th>
<th>Department and/or Shared Services</th>
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| ▪ Conduct Research  
▪ Hire staff for project  
▪ Purchase supplies and equipment  
▪ Review expenses and/or meet with Research Administrator and provide guidance on expenses or projections as necessary.  
▪ Ensure regulatory compliance certifications are up to date. | ▪ Reconcile expenditures and create projections on award expenses; ensure expenditures do not exceed budget.  
▪ Ensure expenditures are allowable, confirm with PI any expenses that are questionable, submit cost transfers; Journal Entries for non-labor expenses Approving requisitions in LINK | ▪ Assist with LINK and or reporting questions  
▪ Review credit balances  
▪ Review large balances - specifically over 25% with SPA  
▪ Process Journal Entries, check for accuracy and allowable, following Uniform Guidance. | | N/A | Additional Resources Coming Soon! |

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<tbody>
<tr>
<td>Invoicing</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Missing or Misapplied Payments</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Interim Financial Reports</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Progress Reports</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>Grant RPPR Checklist</td>
</tr>
<tr>
<td>No Cost Extension (NCE)</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>NCE Checklist Coming Soon!</td>
</tr>
<tr>
<td>Carryover (for awards without automatic carryover)</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>Time and Effort Certification Job Aid</td>
</tr>
<tr>
<td>Effort Reporting &amp; Certification</td>
<td>N/A</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>Certify Time &amp; Effort</td>
</tr>
</tbody>
</table>

### Roles & Responsibilities

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#### Invoicing
- Ensure that all expenses are allocated to award in a timely manner so they can be invoiced.
- If cost reimbursable, will invoice expenses monthly, depending on sponsor agreement.

#### Missing or Misapplied Payments
- Monitor cash received.
- If expected payment has not posted, may need to contact fund accounting or sponsor invoicing.
- May assist in locating lost payments, EXCEPT for clinical trial payments, these inquiries should be direct to sponsored invoicing.

#### Interim Financial Reports
- Review and approve interim financial reports.
- Ensure that all expenses are included on the report.
- Review with PI and obtain approval.
- Will identify which reports are due for each month.
- Submit interim financial report to sponsor.

#### Progress Reports
- Prepares non financial information needed for progress report.
- Assist PI with preparing and submitting progress reports including unobligated balances, effort, and other administrative information.
- Ensure RPPR is routed in Research Portal.
- Review and submit RPPR in eRA Commons.
- Will complete copy of report and send to PI and department admin for approval.
- Submit financial report to sponsor.

#### No Cost Extension (NCE)
- Send email to Jennifer Garcia with justification for NCE.
- If sponsor approval is required, draft letters for NCE request.
- Assist with letter and or budget preparation for NCE request.
- May submit request to SPA in lieu of PI.
- Follow-up on request and ensure an approval is received.
- Facilitate review and provide institutional authorization of the request.
- If sponsor approval is needed, submit NCE letter.
- Forward approval to Fund Accounting.
- Update LINK with new end date.

#### Carryover (for awards without automatic carryover)
- Writes scientific explanation and budget justification sections of carryover request letter.
- Ensure FFR or final invoice has been submitted.
- Assist in drafting carryover request letter.
- Review carryover amount with Fund Accounting.
- Submit request to SPA carryover.
- Facilitate review and provide institutional authorization of the carryover request.
- If sponsor approval is needed submit to sponsor.
- Review carryover request and ensure that only authorized funds are drawn down.

#### Effort Reporting & Certification
- Certify effort once you receive email notification.
- Effort certifications are due 2 weeks after receiving notification email.
- Ensure PI effort and staff is correctly allocated.
- Answer any questions regarding effort certification.
- Serves as Administrator over Effort Reporting.
- Pulls reports and ensures the all effort is certified.
- Follow up with PI and/or Department Administrator.
- N/A
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<tr>
<td>Changes to Award (Rebudgeting, Changes in Effort, PI, or Scope)</td>
<td>• Initiate changes to award, including rebudgeting and changes in effort, PI, or scope.</td>
<td>• Manage transfer process and assist with obtaining approvals.</td>
<td>• Run LINK report for complete list of all grants to determine which ones will be transferred or relinquished.</td>
<td>• If applicable, make necessary changes to budget in LINK</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>• Work with Department and/or Shared Services to submit request</td>
<td>• Review expenses and confirm with Fund Accounting for submission of the financial report</td>
<td>• Meet with PI and Department to discuss transfer, if needed.</td>
<td></td>
<td>Grant Transfer Checklist Coming Soon!</td>
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<td>• Loop in legal as needed for certain agreements.</td>
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</tr>
<tr>
<td>Transfers / Relinquishment</td>
<td>• Notify Department and Research Administrator of transfer/relinquishment</td>
<td>• Reconcile expenses and clear outstanding POs.</td>
<td>• Submits final Progress report and Invention statement.</td>
<td>• Complete financial report and submit after confirmation from department and PI.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Prepare non-financial reports.</td>
<td></td>
<td></td>
<td>Best Practice: Awards Ending</td>
</tr>
<tr>
<td>Award Close-Out</td>
<td>• Review and approve final financial report.</td>
<td>• Adjust payroll distributions</td>
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<td></td>
<td>• Prepare invention statement</td>
<td>• Review and approve final financial report.</td>
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<td>• Run LINK report for complete list of all grants to determine which ones will be transferred or relinquished.</td>
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<td></td>
<td>• Meet with PI and Department to discuss transfer, if needed.</td>
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**Please note:**
Department Responsibilities may vary within each department. Your Chair and/or Department Administrator should assist in identifying who is responsible for these Pre and Post Award roles in your department.

**Questions?**
- Contact Sponsored Programs Administration
- Contact Research Administration Shared Services
- Contact Fund Accounting

_Last Updated 11/12/2020_