



Roles & Responsibilities
For Grants and Contracts (Excludes Clinical Trials and Philanthropy)

Category	PI	Department and/or Shared Services	Sponsored Programs Administration (SPA)	Fund Accounting	Relevant SOP/Checklist/Best Practice
Pre-Award Activities					
Identify Funding Opportunities	Identify funding opportunity	N/A	<ul style="list-style-type: none"> Manages the subscription to Pivot. Provide Pivot training if needed. Clarify Program guidelines and verify eligibility, if 	N/A	Funding Opportunities
Limited Funding Opportunities	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Notify SPA of PI intent to apply. Follow the Limited Submission SOP. 	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 Best Practice: Intent to Submit
Develop Research Plan	<ul style="list-style-type: none"> Review Sponsor requirements Write research plan and statement of work Prepare other sections as necessary 	<ul style="list-style-type: none"> Proofread non-scientific section for spelling, grammar and formatting- depending on time permitted for review. 	<ul style="list-style-type: none"> Provide assistance with interpretation of sponsor guidelines. Provide assistance with budget preparation. 	N/A	Proposal Submission Timeline
eRA Commons Account	<ul style="list-style-type: none"> Notify Department Administrator that you need to Request eRA Commons Account. May complete and Submit eRA Commons Request form 	<ul style="list-style-type: none"> Complete and Submit eRA Commons Request form. 	<ul style="list-style-type: none"> Approve eRA Commons Request form. Establish eRA Commons account. 	N/A	eRA Commons Acct Request Form
Develop Budget and Justification	<ul style="list-style-type: none"> Define personnel and other budget elements. Develop budget justification document. 	<ul style="list-style-type: none"> Assist with developing budget in standard template. Meet and discuss with PI to understand needs. Review budget justification and ensure it matches budget. 	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Update biosketch content Complete non-scientific sections of proposal as necessary 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Provide checklist for biosketches Provide Sample Facilities & Resources page Provide PowerPoint training on the Non-scientific components of an application. 	N/A	Biosketch Checklist Sub recipient Commitment Form



Roles & Responsibilities
For Grants and Contracts (Excludes Clinical Trials and Philanthropy)

Category	PI	Department and/or Shared Services	Sponsored Programs Administration (SPA)	Fund Accounting	Relevant SOP/Checklist/Best Practice
Compile all Proposal Elements According to Sponsor Guidelines	<ul style="list-style-type: none"> Create and compile all relevant proposal documents. Send to Research Administrator for review. 	<ul style="list-style-type: none"> Review all proposal documents received from PI's Follow-up on missing items Ensure all elements are in proper format and edit as necessary 	<ul style="list-style-type: none"> Provide checklist of required proposal items Assist with the interpretation of the sponsor guidelines. 	N/A	<i>Proposal Checklist Coming Soon!</i>
Obtain Commitments	<ul style="list-style-type: none"> Identify commitments that may be needed (Space, facilities, Cost Share and/or F&A waiver) 	<ul style="list-style-type: none"> Department Chair will need to request in writing to Dr. Bean 	<ul style="list-style-type: none"> Review the proposal to be sure the commitments are accurately reflected in the proposal. Review and approve any non-standard F&A (indirect cost) rates. Ensure approval for commitment(s) have been properly obtained. 	N/A	N/A
Enter Proposal into Research Portal	<ul style="list-style-type: none"> Create Master Project and Grant in Research Portal May upload all relevant proposal documents Routing final application for PI and Departmental approvals. 	<ul style="list-style-type: none"> Assist with creating Master Project and grant in Research Portal Assist/upload all relevant proposal document Routing final application for PI and Departmental approvals. 	<ul style="list-style-type: none"> Provide Portal training and training Materials . Ensure that the portal is kept up-to-date with current version of the sponsor form packet. 	N/A	RRP Grant Walk-through
Complete Conflict of Interest Forms (For a proposal; NOT annual certification)	<ul style="list-style-type: none"> COI should be submitted at time of submission, but will be reviewed during JIT review. 	N/A	<ul style="list-style-type: none"> Will verify project specific COI disclosure has been completed at JIT. Will verify that COI training has been completed. 	N/A	COI Tip Sheet
Enter proposal into Sponsor System	<ul style="list-style-type: none"> Depending on department structure, PI may be responsible for entering proposal into sponsor system 	<ul style="list-style-type: none"> Enter proposal into sponsor system 	<ul style="list-style-type: none"> Assist with questions and concerns. Establish login, if applicable 	N/A	N/A
Proposal Review and Submission	<ul style="list-style-type: none"> Request SPA budget consultation. Route the "FINAL" proposal in the RRP for PI and Departmental approvals . If proposal application is not submitted via RRP, inform SPA when the final version is ready for submission 	<ul style="list-style-type: none"> Department Chair or other designated person will review and approve Monitor progress and address questions and comments from SPA Make appropriate recommended changes 	<ul style="list-style-type: none"> Reviews for completeness and compliance with sponsor and university policies and guidelines. Provide institutional authorization and submit proposal to sponsor 	N/A	N/A
JIT Process	<ul style="list-style-type: none"> Notify SPA, Department or Shared Services and/or Research Administrator of JIT request and due date 	<ul style="list-style-type: none"> Assist with collection of necessary documentation 	<ul style="list-style-type: none"> Review and submit JIT to sponsor. Verify Regulatory Approvals are in place. 	N/A	JIT Review Checklist



Roles & Responsibilities
For Grants and Contracts (Excludes Clinical Trials and Philanthropy)

Category	PI	Department and/or Shared Services	Sponsored Programs Administration (SPA)	Fund Accounting	Relevant SOP/Checklist/Best Practice
POST-AWARD ACTIVITIES					
Award Set-up: Activity Created and budget loaded in LINK	<ul style="list-style-type: none"> Provide input for any budget necessary budget revisions Ensure COI is complete 	<ul style="list-style-type: none"> Provide revised budget if necessary and assist with collecting other documents as needed 	<ul style="list-style-type: none"> Receive Notice of Grant Award and forward to PI and Dr. Bean. Contact the sponsor if errors are found in the award documents. 	<ul style="list-style-type: none"> 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
Award Set-up: Payroll distributions	<ul style="list-style-type: none"> Review effort and agree to labor allocation changes as needed 	<ul style="list-style-type: none"> Set up payroll distributions 	<ul style="list-style-type: none"> Reviews and approves LCTs > 90-days. 	N/A	Best Practice: Setting up Labor Distributions
Establishing Subawards / Subcontracts	<ul style="list-style-type: none"> Review Sub budgets and statement of work 	<ul style="list-style-type: none"> Collect and review Sub documents Submit request into Research Portal Monitor progress to ensure sub is fully executed 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Update sub award activity in LINK information per the agreement by increasing or creating a new Purchase Order. 	N/A
Paying Sub awardees / Subcontractors	<ul style="list-style-type: none"> Confirm Sub awardees have completed the work and sign off on invoice 	<ul style="list-style-type: none"> Review invoice with PI and obtain signature approval. Send to Fund Accounting for Payment 	N/A	<ul style="list-style-type: none"> Receives invoices and sends to Department Administrator for PI approval Will forward approved invoice to Accounts Payable for payment. 	N/A
Conduct Research and Manage Expenses	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> 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 	N/A	<ul style="list-style-type: none"> 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 allowacaility, following Uniform Guidance. 	<p><i>Additional Resources Coming Soon!</i></p> <p>Post Award Reporting</p> <p>Cost Transfer Form</p>



Roles & Responsibilities
For Grants and Contracts (Excludes Clinical Trials and Philanthropy)

Category	PI	Department and/or Shared Services	Sponsored Programs Administration (SPA)	Fund Accounting	Relevant SOP/Checklist/Best Practice
Invoicing	N/A	<ul style="list-style-type: none"> Ensure that all expenses are allocated to award in a timely manner so they can be invoiced 	N/A	<ul style="list-style-type: none"> If cost reimbursable, will invoice expenses monthly, depending on sponsor agreement. 	N/A
Missing or Misapplied Payments	N/A	<ul style="list-style-type: none"> Monitor cash received. If expected payment has not posted, may need to contact fund accounting or sponsor invoicing. 	N/A	<ul style="list-style-type: none"> May assist in locating lost payments, EXCEPT for clinical trial payments, these inquiries should be direct to sponsored invoicing. 	N/A
Interim Financial Reports	<ul style="list-style-type: none"> Review and approve interim financial reports 	<ul style="list-style-type: none"> Ensure that all expenses are included on the report. Review with PI and obtain approval 	N/A	<ul style="list-style-type: none"> Will identify which reports are due for each month. Will complete copy of report and send to PI and department admin for approval. Submit financial report to sponsor 	N/A
Progress Reports	<ul style="list-style-type: none"> Prepares non financial information needed for progress report. 	<ul style="list-style-type: none"> Assist PI with preparing and submitting progress reports including unobligated balances, effort, and other administrative information. May need to assist with uploading information in eRA Commons. Ensure RPPR is routed in Research Portal 	<ul style="list-style-type: none"> Review and submit RPPR in eRA Commons. 	N/A	Grant RPPR Checklist
No Cost Extension (NCE)	<ul style="list-style-type: none"> Send email to Jennifer Garcia with justification for NCE. If sponsor approval is required, draft letters for NCE request 	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Facilitate review and provide institutional authorization of the request. If sponsor approval is needed, submit NCE letter. Forward approval to Fund Accounting 	<ul style="list-style-type: none"> Update LINK with new end date 	<i>NCE Checklist Coming Soon!</i>
Carryover (for awards without automatic carryover)	<ul style="list-style-type: none"> Writes scientific explanation and budget justification sections of carryover request letter. 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Facilitate review and provide institutional authorization of the carryover request. If sponsor approval is needed submit to sponsor. 	<ul style="list-style-type: none"> Review carryover request and ensure that only authorized funds are drawn down. 	N/A
Effort Reporting & Certification	<ul style="list-style-type: none"> Certify Effort once you receive email notification. Effort certifications are due 2 weeks after receiving notification email 	<ul style="list-style-type: none"> Ensure PI effort and staff is correctly allocated. Answer any questions regarding effort certification. 	<ul style="list-style-type: none"> 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	Time and Effort Certification Job Aid Certify Time & Effort



Roles & Responsibilities For Grants and Contracts (Excludes Clinical Trials and Philanthropy)

Category	PI	Department and/or Shared Services	Sponsored Programs Administration (SPA)	Fund Accounting	Relevant SOP/Checklist/Best Practice
Changes to Award (Rebudgeting, Changes in Effort, PI, or Scope)	<ul style="list-style-type: none">Initiate changes to award, including rebudgeting and changes in effort, PI, or scope.Work with Department and/or Shared Services to submit request	<ul style="list-style-type: none">If Sponsor approval is required, assist with submitting requests.For a rebudget where sponsor approval is not required, submit request to Fund Accounting with details of which categories will be re budgeted.	<ul style="list-style-type: none">Facilitate review and provide institutional authorization to sponsor for changes in effort, PI, or scope.	<ul style="list-style-type: none">If applicable, make necessary changes to budget in LINK	N/A
Transfers / Relinquishment	<ul style="list-style-type: none">Notify Department and Research Administrator of transfer/relinquishment	<ul style="list-style-type: none">Manage transfer process and assist with obtaining approvals.Review expenses and confirm with Fund Accounting for submission of the financial report	<ul style="list-style-type: none">Run LINK report for complete list of all grants to determine which ones will be transferred or relinquished.Meet with PI and Department to discuss transfer, if needed.Loop in legal as needed for certain agreements.	<ul style="list-style-type: none">Estimate the unobligated balance and submit relinquishment statement to sponsor.Complete financial report and submit after confirmation from department and PI.	<i>Grant Transfer Checklist Coming Soon!</i>
Award Close-Out	<ul style="list-style-type: none">Review and approve final financial report.Prepare invention statementPrepare non-financial reports.	<ul style="list-style-type: none">Reconcile expenses and clear outstanding PO's.Adjust payroll distributionsReview and approve final financial report.	<ul style="list-style-type: none">Submits final Progress report and Invention statement.	<ul style="list-style-type: none">Complete financial report and submit after confirmation from department and PI.	Best Practice: Awards Ending

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](#)