ROLES IN THE PREPARATION, SUBMISSION AND OVERSIGHT OF GRANTS, CONTRACTS, AND AGREEMENTS

Principal Investigator
- Primary responsibility for the preparation and revision of the detailed technical proposal/research plan and corresponding budget to ensure that the components follow specific sponsor requirements, University requirements and established cost principles
- Ensuring compliance with the terms and conditions of the sponsored award including compliance with Federal and agency regulations and financial requirements
- Authorization, supervision and recording of the incurrence of expenditures on the sponsored award to ensure that:
  - Costs, including personnel costs, are specifically identified, utilized and charged to the appropriate sponsored project
  - Expenditures are consistent with all the terms, conditions and limitations of the award and are consistent with the proposed budget and scope of work
- Ensure that unallowable or unallocable direct or indirect costs are not charged to the project
- Ensure that timely financial adjustments are made and technical reports, progress reports and intellectual property reporting information for the sponsor is completed to expedite the closeout of the award
- With respect to subcontractors and consultants, primary responsibility for interactions governing technical scope of work and reporting and also for ensuring that subcontractor budgets follow specific sponsor requirements, University requirements and established cost principles

Department Administrator
- Develop a working knowledge of Federal, agency and University regulations relating to the conduct of sponsored research
- Assist the Principal Investigator with the preparation of the proposal including the detailed budget and other components
- Initiate establishment of new sponsored project accounts
- Perform detailed accounting and recording of direct costs on grants and contracts, as well as proper accounting of costs, including costs under subcontracts and Contracted Services Agreements (CSA)
- Ensure that unallowable or unallocable direct and indirect costs are not charged to the project
- Identify and segregate unallowable costs from the sponsored project account on to non-sponsored research accounts through the proper utilization of departmental account subcodes
- Submit timely financial reporting information to facilitate final cost report submission and accounts receivable collection

School
- Pre-award: provide guidance on proposal submission, review proposals before submission to the Office of Research for compliance with costing standards and use of negotiated facilities and administrative (F&A) and fringe benefits rates, evaluate requests for F&A waivers/reductions, review cost sharing for appropriateness, verifies that non-financial compliance requirements have been met at time of proposal submission
- Post-award: provides local oversight of federal and sponsor costing regulations such as correct identification of direct and indirect costs, assists departments with resolution of revenue/expenditure issues, provides guidance in sponsored project matters that cannot be resolved at the departmental level, identifies and evaluates high-risk compliance issues related to day-to-day activity
- Training: provides training on specific topic issues on a one-to-one as well as group basis, maintains a website where announcements from all central administration offices can be found with links to appropriate information, prepares detailed guidance on application of costing principles
- Recharge Center Activity: provides review and approval of all new recharge center activity as well as ongoing oversight of existing recharge centers to ensure compliance with all University and institutional regulations
Office of Research

- Review, negotiate, and approve proposals for accuracy of budget components, proper application of F&A and fringe benefit rates, and compliance with University policies and practices
- Ensure that proposals received are submitted in compliance with Federal, other agency and University regulations
- Interpret sponsor and University policies and regulations to assist Principal Investigators and departmental staff as they apply to proposal submissions and awards
- Provide final signatory authority and responsibility for negotiation and acceptance of awards and changes to awards on the University's behalf
- Provide training in grants and contracts management for the research community
- Approve establishment of new sponsored project accounts including any modifications thereto
- Prepare and issue outgoing agreements upon receipt of properly completed request paperwork from PI/Department to ensure that resultant agreements comply with the terms of the prime award as well as any state, local or federal laws and regulations

Research Accounting

- Account Activation – establishing the sponsored project account in the University sponsored project financial accounting subsystem along with the related project budget and the appropriate award attributes in accordance with sponsoring agency regulations and requirements, and University policies and procedures
- Account Maintenance – processing ongoing changes to the sponsored project account throughout the life cycle of an account such as new project year add-ons, budget modifications, new subaccounts, changes in PI, changes of address, change of department, no-cost extensions, journal entries, monitoring early, overdrafted and unbilled accounts, etc.
- Invoicing – preparing the majority of University sponsored project invoicing based upon the requirements of the notice of award in a timely and accurate manner
- Cash Application – applying payments received from sponsoring agencies to University sponsored project accounts and related accounts receivable in a timely and accurate manner
- Accounts Receivable – accounting, administration and management of sponsored project accounts receivable assuring that all sponsor financial commitments to the University are met in a reasonable period of time; with the support of Principal Investigators, departmental administration and the Office of General Counsel
- Financial Reporting – preparing required financial reports for sponsors based upon project costs recorded by departments in a timely and accurate manner
- Account Closing – determining that sponsored project accounts are financially balanced and all sponsor financial requirements are met including required University financial and other administrative reports to finalize the sponsored project award and close the account
- Audit Support – providing central accounting and administrative support on a majority of University sponsored project and program audits, financial site visits, agency desk reviews, certain financial questionnaires, A-133 inquiries and other agency financial inquiries
- Miscellaneous Sponsored Project Administration – providing sponsored project account financial support, administration, customer service, oversight, compliance and issue resolution in coordination with the Office of Research, Principal Investigators, department administrators, central administrative offices and sponsors

*This list is to provide examples of key responsibilities and is not meant to be exhaustive.*