**Proposal Development Activities**

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| --- | --- | --- | --- | --- | --- |
|  | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) | Associate Deans for Research/ College Staff |
| Establish and enhance strategic partnerships with other research-related universities, agencies, foundations and sponsors | X |  |  | Primary (1) |  |
| Communicate funding opportunities, workshops and research events through newsletters and website |  |  | X | Primary (1) |  |
| Identify funding opportunitiesPIVOT, Grants.gov, COS, etc. | X |  | X | Primary (1) | X |
| Develop and organize research teams and facilitate proposal development of large, complex proposals (multidisciplinary, multi-institutional) | X |  | X | Primary (1) | X |
| Develop multi-disciplinary research development workshops |  |  |  | Primary (1) | X |
| Assist with revision and editing of multi-PI, complex proposals | X |  | X | X (1) |  |
| Secure university resource commitments | Primary |  | X | X (1, 2) |  |

**Pre-Award Activities**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) |
| Identify funding opportunitiesSPIN, Grants.gov, COS, etc. | X | X | X | Primary |
| Understanding of sponsor's rules and guidelinesAll must know these | X | X | X | Primary |
| Secure university resource commitmentsApproval must be secured in writing by responsible administrator | Primary |  | X | X |
| Prepare budget, including subaward documentationFormat and upload for submission should be done by the DBA under the PI's guidance | Primary | X | X | X |
| Technical content of the proposalThis is the exclusive responsibility of the PI | Primary |  |  |  |
| Prepare proposal elements for submission - format and upload | X | X | Primary | X |
| Review proposal for institutional assurances, ensure completeness of proposal |  |  |  | Primary |
| Intellectual Property Assessment | X |  |  | Primary(OIPM\*) |
| Review proposal to ensure University rules are followed |  |  | X | Primary |
| Upload proposal to sponsorFollow sponsor's requirements, and ensure FCOI is on file |  |  | X | Primary |
| Approve proposal on behalf of institution |  |  |  | Primary |
| Prepare and submit all compliance protocols (IRB, IACUC, safety)Upon notification of potential funding | Primary |  |  | X |
| Submit "Just in time" information to sponsor | Primary |  |  | X |

**Post-Award Activities**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) |
| Understanding of award terms and conditionsAll parties need to know the terms and conditions in order to manage the award | X | X | X | Primary |
| Negotiate/accept award terms and conditionsIn consultation with PI, DOR makes decision |  |  |  | Primary |
| Finalize budgets for awardsPI must review and approve | X | X |  | Primary |
| Establish and amend awards in grant management system |  |  |  | Primary |
| Final compliance review |  |  |  | Primary (ORPCC\*) |
| Load budgets into PeopleSoftCost center set-up |  |  |  | Primary |
| Process personnel documents to allocate chargesDBA can process documents with PI input | X | Primary |  |  |
| Process non-personnel expenditure documentsDBA can process documents with PI input | X | Primary |  |  |
| Effort reportingQuarterly | Primary | X | X | X |
| **Subcontracting activities, including:** | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) |
| > Initiate/develop/register/execute subcontractPI must have input into this process | X |  |  | Primary |
| > Request PO to encumber subcontract |  |  |  | Primary |
| > Receive, process subcontract invoicesDOR receives and processes |  |  |  | Primary |
| > Approve subcontract invoices, identify problemsPI approves work, DBA approves appropriate charge and communicates problems to PI and DOR | Primary | X |  |  |
| > Close-out subcontractDBA should report on expenditures | X | X |  | Primary |
| Prepare programmatic/scientific progress reports | Primary |  |  |  |
| Monitor budget v. expensesWith good tools, DBA can monitor budgets and report to PI | X | Primary |  | X |
| Budget revisions, modifications, and no-cost extensionsPI initiates and seeks approval from sponsor if necessary | X |  |  | Primary |
| Maintain compliance protocol approvals and FCOI disclosureAnnually | Primary |  |  | X |
| Review expenditure requestsPI and DBA do the programmatic and financial review | Primary | X |  |  |
| Approve expenditure requestsDOR does sponsor policy review and approval, when necessary |  |  |  | Primary |
| Identify need for and request cost transferPI and DBA identify when a transfer is needed | Primary | X |  |  |
| Approve and process cost transferDBA processes the document and DOR approves |  | X |  | Primary |
| **Project management, including:** | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) |
| > Preparation/submission of financial status reports | X | X |  | Primary |
| > Preparation/submission of invoices or periodic billing | X | X |  | Primary |
| > Account receivable follow-upThe circumstances that would require PI or DBA involvement with A/R follow-up should be defined | X | X |  | Primary |
| > Receipt and deposit of checks/fund transfers for DOR projects |  |  |  | Primary (3) |
| > Preparation of letter-of-credit draws |  |  |  | Primary (3) |
| Initiate request for modification, change to grant/contract | Primary | X |  |  |
| Process request to sponsor for project modifications/approvals, such as no-cost time extensions, funds carryover | X |  |  | Primary |

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| --- | --- | --- | --- | --- |
| **Closeout activities, including:** | Principal Investigator(PI) | Department Business Administrator (DBA) | College Research Administrator (CRA) | Division of Research (DOR) |
| > Financial reporting/invoicing | X | X |  | Primary |
| > Programmatic reports | Primary |  |  |  |
| > Intellectual property reporting | X |  |  | Primary (4) |
| > Fixed asset/property reporting | X |  |  | Primary (5) |

﻿\*OIPM: Office of Intellectual Property Management
﻿\*ORPCC: Office of Policies, Compliance and Committees
﻿﻿(1) Completed by Office of Research Development
﻿(2) Office of Contracts and Grants
(3) Via the Division of Administration and Finance
﻿(4) Report completed by OIPM
﻿(5) Report completed by the Property Management Office of the Division of Administration and Finance