

**RESTRICTED PROJECTS: ROLES AND RESPONSIBILITIES**

May 2009

	PI	DEPT ADM	DEPT HEAD	DEAN	OSP	C&G	COMPLIANCE
<b>Training and Education</b>							
• Review, interpret, and disseminate policies from sponsors					X	X	
• Review, interpret, and disseminate policies from research compliance oversight agencies							X
• Serve as expert resource on knowledge of policies and act as liaison with sponsors or oversight agencies					X	X	X
• Develop institutional training curricula					X	X	X
• Provide training in areas of research compliance					X	X	X
• Monitor effectiveness of training programs					X	X	X
<b>Identifying Funding Opportunities</b>							
• Advise PI on funding search tools and use					X		
• Identify funding opportunities	X						
<b>Proposal Preparation</b>							
• Provide proposal forms and application materials					X		
• Prepare technical proposal and identify the need for subcontracts/subagreements	X						
• Prepare proposal budget and budget justification	X						
• Provide help to PI on budget preparation		X			X		
• Communicate changes in fringe benefit rates						X	
• Request matching/cost share funds and/or identify in-kind contributions	X						
• Identify Program income	X						
• Approve departmental matching funds			X				
• Approve Dean's matching funds				X			
<b>Proposal Review, Approval, and Submission</b>							
• Prepare and route Proposal Transmittal Form	X						
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• Help PI prepare and route Proposal Transmittal Form		X					
• Review and approve proposal for scientific merit, resource utilization, etc. prior to submission to OSP			X	X			
• Approve F&A split(s)			X				
• Identify and approve on and off campus space needs for project and request modifications				X			
• Review proposals for completeness and adherence to sponsor and other regulations, including OMB A-21					X		
• Determine appropriate F&A rate					X		
• Approve proposals					X		
• Submit proposals electronically					X		
• Submit proposals (paper versions)	X						
<b>Compliance Issues</b>							
• Comply with federal, state, and University policies governing sponsored programs and misconduct in research	X						
• Identify conflicts of interest and provide appropriate disclosures	X						
• Complete appropriate forms for all relevant compliance committees and ensure compliance in accord with protocol applications	X						
• Review COI disclosures and approve management plans and ensure compliance			X				
• Perform required review and approval of protocol							X
• Conduct investigations into adverse events							X
• Maintain records on protocol approvals (including continuations, amendments, and revisions)							X
• Prepare reports of expired protocols							X
<b>Pre-Award Negotiation and Acceptance</b>							
• Negotiate and accept awards and determine project type					X		
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• Communicate all terms and conditions to PI/Project							

Director					X		
• Negotiate and establish subcontracts					X		
• Approve pre-award accounts					X		
• Establish pre-award account						X	
<b>Award Set-Up</b>							
• Establish restricted award account						X	
• Communicate restricted award account details to PI and department						X	
<b>Conducting the Project</b>							
• Conduct sponsored project and provide oversight for all project activity	X						
• Review programmatic changes to the project			X				
<b>Post-Award Financial</b>							
<i><b>At the Outset</b></i>							
• Confirm availability of project funds	X	X					
• Maintain local oversight of project budget	X	X					
• Set up payroll on awards		X					
• Hire and/or terminate project personnel	X						
• Track current and pending effort commitments	X						
• Ensure award expenditures comply with OMB A-21 and University and state policies	X						
<i><b>During Project Period</b></i>							
• Certify effort reports (PARs)	X						
• Provide local oversight for effort certification		X					
• Document cost transfer requests		X					
• Request re-budgeting, carry-forward, changes in personnel, no-cost extensions, etc. to sponsor for administrative or programmatic changes	X						
• Obtain sponsor approvals for rebudgeting							
	<b>PI</b>	<b>DEPT ADM</b>	<b>DEPT HEAD</b>	<b>DEAN</b>	<b>OSP</b>	<b>C&amp;G</b>	<b>COMPLIANCE</b>
• Approve re-budgeting requests not under expanded authorities						X	

• Propose resolution of award overdrafts	X						
• Review and approve cost transfers and resolutions to overdrafts						X	
• Receive contractor invoice(s)		X					
• Approve work done by subcontractor	X						
• Monitor receipt of program income		X					
• Identify and evaluate issues related to program income						X	
• Use monthly reports for financial monitoring and identify and resolve errors	X	X					
• Approve carry-forward and endorse requests to sponsor for administrative or programmatic changes initiated by PI					X		
<b><i>C&amp;G Accounting Actions</i></b>							
• Prepare and submit invoices to sponsors and letter of credit draws, manage accounts receivable						X	
• Report cost sharing on projects						X	
• Process payment of all invoices from subcontractors and providers						X	
• Submit all interim and certify all final financial reports						X	
• Coordinate the A-133 audit and all other audits						X	
• Resolve payment problems with sponsors						X	
• Subrecipient monitoring						X	
<b>Project Close Out</b>							
• Provide information for or submit all interim and final technical reports in accordance with award terms and conditions	X				X		
• Notify PI of account termination						X	
• Identify uncollectibles, inactivate or close out accounts						X	
• Relinquish awards						X	
	PI	DEPT ADM	DEPT HEAD	DEAN	OSP	C&G	COMPLIANCE
• Work with departments and PIs/Program Directors when reports are delinquent					X	X	
• Retain the scientific data	X						

• Retain Grant Document of Record					X		
• Retain Financial Information						X	
<b>Other</b>							
• Maintain institutional database of proposals and awards					X	X	
• Request Residual Balances	X						
• Invention, patent, licensing, commercialization-TCO?							

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