

Proposal Development and Project Management Roles and Responsibilities

Task	Responsible Entity*				
	PI/PD	Supervisor	Dean or VC	ORP	Other
Identification of Funding Opportunities					
Search for Opportunities	X			X	
Provide guidance on funding opportunities		X	X	X	
Proposal Preparation					
Provide expert guidance on proposal preparation				X	
Develop budget	X			X	
Identify required cost sharing funds	X	X	X	X	
Evaluate requests for F&A exceptions & obtain proof of capped F&A				X	
Complete financial conflict of interest lead investigator form if needed	X				
Complete FCOI disclosure form if needed	X				
Notify all known investigators to complete FCOI disclosure form if needed	X				
Write and edit proposal sections	X				
Collect all required documents & information from subcontractors/subawardees, including institutional commitment letters	X				
Coordinate space arrangements	X	X	X		
Proposal Review and Approval					
Complete the proposal routing form	X				
Review proposal and sign routing form before sending to ORP		X	X		
Review proposed required cost sharing for appropriateness		X	X	X	
Provide account number(s) for approved required cost sharing	X	X	X	X	
Negotiate returned F&A split	X	X	X		
Confirm that proposal meets the sponsor requirements	X			X	
Provide institutional review and approval of proposal				X	
Proposal Submission					
Load completed documents to sponsor portal (ORP: budget & other final, completed sections)	X			X	
Send proposal to sponsor after institutional approval				X	

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Award Acceptance					
Modify proposed budget to awarded funds if needed	X			X	
Prepare routing package for award & send for institutional approval	X				
Review terms and conditions	X			X	
Negotiate terms and conditions with sponsor if needed				X	
Approve terms and conditions	X			X	
Accept sponsor notification of grant or contract award				X	
Non-Financial Compliance Requirements					
Identify compliance requirements	X			X	
Complete & submit compliance forms & protocols	X				
Complete required training & ensure others needing to complete training and/or disclosures do so	X				
Review forms/protocols & training certification				X	
Advance Account and Award Set-up					
Confirm that regulatory compliance requirements have been met				X	
Request advance account with unofficial award notice	X				
Consider appropriateness of advance account request		X	X	X	
Establish advance account				X	
Monitor advance account				X	
Prepare award summary documents				X	
Approve award summary documents	X			X	
Establish account number in general ledger				X	
Subcontracts and Subawards					
Prepare, negotiate, and sign subcontracts/subawards				X	
Monitor subrecipients	X			X	
Oversee programmatic aspects of subcontract/subaward	X				
Review and approve subcontract invoices	X			X	
Conducting the Project					

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Review and approve MTAs					OTT
Ensure integrity of data, including means of archiving data	X				
Disclose potential inventions prior to disseminating results	X				
Evaluate disclosures					OTT
Expenditures					
Prepare financial transaction paperwork, including hiring	X	X			
Initiate purchases	X	X			
Review and approve financial transactions		X		X	Purchasing
Use financial reports to monitor and oversee expenditures	X	X		X	
Reconcile accounts on a monthly basis	X			X	
Ensure that cost sharing is documented	X	X		X	
Audit expenditures				X	
Coordinate resolution of issues on oversight reports				X	
Initiate re-budgeting requests	X				
Approve re-budgeting requests				X	
Initiate no cost extensions	X				
Approve no cost extensions (or forward to sponsor)				X	
Program Income					
Identify program income	X			X	
Invoice program income	X				
Receive & deposit program income	X			X	
Identify use & reportability of program income				X	
Monitor program income levels	X	X		X	
Invoicing and Financial Reporting					
Prepare & submit financial report				X	
Accounts Receivable Management					
Receive & deposit payments from sponsors				X	
Produce & record a letter of credit draw request (federal awards)				X	
Monitor & pursue the collection of overdue payments from sponsors				X	

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Changes to Project					
Initiate prior approvals for changes to project	X				
Approve or forward to sponsor prior approvals for changes to project				X	
Notify compliance committees of approved changes to project	X				
Technical Reports					
Prepare and submit technical reports to sponsor	X				
Maintain official copies of report & all supporting documentation	X				
Personnel and Effort Certification					
Ensure accuracy of completed effort certification reports	X				
Complete the necessary supervisory reviews and approvals	X	X	X		
Maintain the effort certification database and reporting system				X	
Resolve problems or follow up on certifications not submitted				X	
Project End and Closeout					
Identify early close-out situations	X			X	
Ensure that all technical reports have been submitted to sponsor	X			X	
Ensure that all final invention reports have been disclosed to SIUE & submitted to sponsor	X			X	OTT
Ensure that all required publication reports have been submitted	X			X	
Ensure all appropriate expenditures have been posted to accounts	X			X	
Ensure that all financial reports have been submitted to sponsor	X			X	
Prepare & approve final financial invoice/report				X	
Resolve issues related to unreconciled accounts				X	
Inactivate award account(s) in financial accounting system				X	
Maintain official project documents for sponsored projects	X			X	
Audits					
Provide information as needed	X			X	

*PI/PD = The principal investigator (PI) or project director (PD) is the primary individual in charge of the sponsored project. The principal investigator reports to a unit head (or other designated official).

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Supervisor = The supervisor is an academic or non-academic leader with programmatic, managerial and fiscal responsibilities for a designated area, such as a department, division or center. The supervisor typically reports to a dean or vice chancellor.

Dean or VC = The dean or vice chancellor (VC) is a leader who has programmatic, managerial and fiscal responsibilities for a college, school or non-academic unit. The administrative center for a school, college, or non-academic unit may include one or more associate deans or associate vice chancellors, who report to the dean/vice chancellor.

ORP = The Office of Research and Projects/Graduate School is the only institutional unit (1) legally able to submit proposals for research and creative activities to external entities for funding support in the form of a contract, grant, or agreement and (2) legally able to commit the University on behalf of the Board of Trustees in the event an award is made. The Associate Provost for Research is designated as the Authorized Organizational Representative and has the authority to sign submitted proposals, to receive awards and to conduct other official business with funding agencies, whether federal or private. This authority may be delegated.

OTT = The Office of Technology Transfer