

## Proposal Development and Project Management Roles and Responsibilities

Task	PI/PD	Supervisor/ Department	Dean or VC	ORP			Other	Notes
				Pre- Award	Post- Award	Compliance		
<b>Identification of Funding Opportunities</b>								
Search for Opportunities	X			X				
Provide guidance on funding opportunities		X	X	X				
<b>Proposal Preparation</b>								
Provide expert guidance on proposal preparation				X				
Write and edit proposal sections/request editing support	X							
For subcontractors and subawardees, identify partners, collect supporting materials (budget, scope of work materials, institutional commitment letter, biosketches, etc.)	X							
Collect all required documents & information from subcontractors/subawardees, including institutional commitment letters	X			X				
Develop budget	X			X				
Identify need for required cost sharing funds	X	X	X	X				
Evaluate requests for F&A exceptions & obtain proof of capped F&A				X				
Coordinate space arrangements for projects	X	x						
Initiate the proposal in Quali Research	X							
Identify the source of any required cost sharing (PI) and account paying cost share (Pre-Award)	X			X				
Negotiate returned F&A split	X	X	X					

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				Pre- Award	Post- Award	Compliance		
Identify compliance requirements	X		x		x			Pre-Award makes them aware & works with other grant offices. Compliance provides support to ensure compliance
Complete FCOI disclosure form if needed	X							
Notify all known investigators to complete FCOI disclosure form if needed	X							
Coordinate space arrangements	X	X	X					
Enter budget into Kualu Research	X			X				PI develops/ Pre-Award enters into KR
Ensure proposal is ready for routing 10 business days prior to submission date	X							Pre-Award will initiate routing
<b>Proposal Review and Approval</b>								
Confirm proposal meets sponsor requirements (text, margins, font, etc.)	X			X				
Review proposal in routing in a timely manner		X	X	X			Others as required (eg ITS, etc.)	
Review proposed required cost sharing for appropriateness		X	X	X	X			
Provide account number(s) for approved required cost sharing	X	X	X		X			
Ensure F&A split has been negotiated	X	X	X		X			
Provide institutional review and approval of proposal				X				

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<b>Proposal Submission</b>								
Load completed documents to sponsor portal (ORP: budget & other final, completed sections)	X			X				
Send proposal to sponsor after institutional approval				X				
<b>Award Acceptance</b>								
Modify proposed budget to awarded funds if needed	X			X	X			If amount is not significant per guidelines Post Award revises
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			
Initiate routing in Kualu Award module	X				X			Initiate routing in Kualu Award module
<b>Non-Financial Compliance Requirements</b>								
Identify compliance requirements	X			X				
Complete & submit compliance forms & protocols	X					X		Compliance supports faculty as needed

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Complete required training & ensure others needing to complete training and/or disclosures do so	X					X		Compliance supports faculty as needed
Review forms/protocols & training certification						X		
<b>Pre-Award Spending &amp; Account Set-up</b>								
Confirm that regulatory compliance requirements have been met						X		
Request pre-award spending account with unofficial award notice	X							
Consider appropriateness of pre-award spending		X	X		X			
Establish pre-award spending account					X			
Prepare pre-award documents					X			
Approve pre-award documents	X				X			
Establish account number in general ledger					X		Administrative Accounting	
Monitor pre-award spending account					X			
<b>Subcontracts and Subawards</b>								
Prepare, negotiate, and sign subcontracts/subawards					X			
Monitor subrecipients	X				X			
Oversee programmatic aspects of subcontract/subaward	X							

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				Pre- Award	Post- Award	Compliance		
Review and approve subcontract invoices	X				X			PI responsible for knowing Purchasing & University rules
<b>Award Setup</b>								
Confirm that regulatory compliance requirements have been met					X			
Modify proposed budget as needed					X			
Set up award in Kual Award Module					X			
Establish account					X			
<b>Conducting the Project-Non Financial</b>								
Review and approve MTAs							OTMIR	
Ensure integrity of data, including means of archiving data	X							
Disclose potential inventions prior to disseminating results	X							
Evaluate disclosures							OTMIR	
<b>Conducting the Project- Financial (Expenditures)</b>								
Prepare financial transactions					X			
Initiate budget modifications with ORP	X							
Approve budget modification paperwork and forward to sponsor					X			

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Initiate no-cost extensions	X							
Approve no-cost extensions or forward to sponsoring agency					X			
Ensure cost sharing is documented	X	X			X			Post Award conducts regular audits
Initiate expenses (hiring, purchases, travel, supplies, etc.)	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							
Coordinate resolution of issues on oversight reports					X			
Audit expenditures					X			
<b>Program Income</b>								
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			
<b>Invoicing and Financial Reporting</b>								
Prepare and submit financial report					X			
<b>Accounts Receivable Management</b>								
Receive & deposit payments from sponsors					X			

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Produce & record a letter of credit draw request (federal awards)					X			
Monitor & pursue the collection of overdue payments from sponsors					X			
<b>Prior Approval</b>								
Initiate prior approvals for changes to project	X							
Approve or forward to sponsor prior approvals for changes to project					X			
Ensure regulatory offices are notified of changes to project	X							
<b>Progress Reports</b>								
Courtesy notification/reminder of technical report due dates					X			Report due dates can be found in executed agreement.
Prepare and submit technical reports to sponsor	X							
Maintain official copies of report and all supporting documentation	X							
Provide a copy of submitted reports to ORP	X							
<b>Personnel &amp; Effort Certification</b>								
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			

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Resolve problems or follow up on certifications not submitted					X			
<b>Compensation Review</b>								
Initiate hiring and appointment process	X							
Review appointment paperwork		X	X		X			
Review payroll certifications	X							
Resolve issues/problems	X				X			
<b>Project End &amp; Closeout</b>								
Identify early close-out situations	X				X			
Ensure that all progress reports have been submitted to sponsor	X							
Ensure that all final invention reports have been disclosed to SIUE & submitted to sponsor	X							
Ensure that all required publication reports have been submitted	X							
Ensure all appropriate expenditures have been posted to accounts	X				X			
Prepare & approve final financial invoice/report					X			
Ensure all financial reports have been submitted to sponsor					X			
Ensure all technical reports have been submitted to sponsor	X				X			
Resolve issues related to unreconciled accounts					X			
Inactivate award account(s) in financial accounting system					X			
Ensure all patent reports have been submitted to sponsor	X						OTMIR	



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Ensure all required publication reports have been submitted to the sponsor	X							
Maintain official project documents for sponsored projects	X				X			
<b>Audits (A-133)</b>								
Provide information as needed	X				X			

**Definitions:**

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).

Supervisor/Department = 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.

OTMIR = The Office of Technology Management and Industry Relations