

Proposal Development and Project Management  
Roles and Responsibilities

|   | Principal Investigator /Project Director | Department | Dean | Office of Research & Projects | Other | Notes  |
|---|--|------------|------|-------------------------------|-------|--|
| <b>Identification of funding Opportunities</b>  |  |            |      |                               |       |  |
| Search for Opportunities  | x  |            |      | x                             |       |  |
| Provide guidance on funding opportunities   |  | x          | x    | x                             |       |  |
| <b>Proposal Preparation</b>   |  |            |      |                               |       |  |
| Write and edit proposal sections/request editing support  | x  |            |      |                               |       |  |
| For subcontractors and subawardees, identify partners, collect supporting materials (budget, workscope materials, institutional commitment letter, biosketches, etc.) | x  |            |      |                               |       |  |
| Develop budget  | x  |            |      | x                             |       |  |
| Identify need for required cost sharing funds   | x  |            |      | x                             |       |  |
| Evaluate requests for F&A waivers or reductions and obtain proof of capped F&A  |  |            |      | x                             |       |  |
| Coordinate space arrangements   | x  | x          | x    |                               |       |  |
| Provide expert guidance on proposal preparation   |  |            |      | x                             |       |  |
| Start the proposal in Kualu Research  | x  |            |      |                               |       | ORP will provide training support to the PI as needed                |
| Identify the source of any required cost sharing and account paying cost share  | x  | x          | x    | x                             |       |  |
| Negotiate returned F&A split  | x  | x          | x    |                               |       |  |
| Identify compliance requirements  | x  |            |      | x                             |       |  |
| Complete FCOI disclosure in Kualu Research as required  | x  |            |      |                               |       |  |
| Submit the proposal for routing in Kualu at least 10 business days before agency submission deadline  | x  |            |      |                               |       |  |
| <b>Proposal Review and Approval</b>   |  |            |      |                               |       |  |
| Confirm that proposal meets the sponsor requirements (text, margins, font, etc.)  | x  |            |      | x                             |       |  |
| Review proposal in Kualu Research   |  | x          | x    | x                             | x     | Others as required, such as ITS                                      |
| Review proposed required cost sharing for appropriateness   |  | x          | x    | x                             |       |  |
| Provide institutional approval of proposal  |  |            |      | x                             |       |  |
| <b>Proposal Submission</b>  |  |            |      |                               |       |  |
| Load proposal submission of completed documents to sponsor portal   | x  |            |      | x                             |       | ORP: budget and other final, completed sections                      |
| Send proposal to sponsor after institutional approval   | x  |            |      | x                             |       | If the agency requires institutional submission, ORP will submit it. |
| <b>Prior to Official Award Notice</b>   |  |            |      |                               |       |  |
| If needed, request preaward spending and advance account  | x  |            |      |                               |       |  |
| Consider appropriateness of advance account request   |  | x          | x    | x                             |       |  |
| Establish advance account   |  |            |      | x                             |       |  |
| Monitor preaward spending and advance account   | x  |            |      | x                             |       |  |
| <b>Regulatory Requirements</b>  |  |            |      |                               |       |  |
| Complete compliance applications  | x  |            |      |                               |       |  |
| Review compliance applications and facilitate institutional oversight   |  | x          | x    | x                             |       |  |
| <b>Award Acceptance</b>   |  |            |      |                               |       |  |
| Ensure all requirements are met prior to official acceptance of award   | x  |            |      | x                             | x     | Others as required, such as Legal Counsel                            |
| Review terms and conditions   | x  |            |      | x                             |       |  |
| Negotiate terms and conditions with sponsor   |  |            |      | x                             |       |  |
| Approve terms and conditions  | x  |            |      | x                             |       |  |
| Accept sponsor notification of grant or contract award  |  |            |      | x                             |       |  |
| <b>Award Set-up</b>   |  |            |      |                               |       |  |
| Confirm that regulatory compliance requirements have been met   |  |            |      | x                             |       |  |
| Modify proposed budget as needed  | x  |            |      | x                             |       |  |
| Set up award in Kualu Research  |  |            |      | x                             |       |  |
| Establish account   |  |            |      | x                             | x     | Administrative Accounting, Institutional Research                    |
| <b>Conducting the Project - Financial</b>   |  |            |      |                               |       |  |
| Prepare financial transactions  | x  | x          |      |                               |       |  |
| Initiate re-budgeting requests  | x  |            |      |                               |       |  |
| Approve re-budgeting requests   |  |            |      | x                             | x     | Sponsor  |
| Initiate no cost extensions   | x  |            |      |                               |       |  |
| Approve no cost extensions (or forward to sponsor)  |  |            |      | x                             |       |  |

|   |   |   |   |   |   |                               |
|---|---|---|---|---|---|-------------------------------|
| Ensure that cost sharing is documented                                      | x   | x |   | x |   |                               |
| Initiate purchases  | x   | x |   |   |   |                               |
| Review and approve financial transactions                                   |   | x |   | x | x | Purchasing, Accounts Payable  |
| 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 and deposit program income  | x   |   |   | x |   |                               |
| Identify use and 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 and deposit payments from sponsors                                  |   |   |   | x |   |                               |
| Produce and record a letter of credit draw request (federal awards)         |   |   |   | x |   |                               |
| Monitor and pursue the collection of overdue payments from sponsors         |   |   |   | x |   |                               |
| <b>Conducting the Project - General</b>                                     |   |   |   |   |   |                               |
| Review and approve incoming MTAs  |   |   |   | x | x | Office of Technology Transfer |
| Disclose inventions   | x   |   |   |   | x | Office of Technology Transfer |
| Ensure integrity of data and data recordings                                | x   |   |   |   |   |                               |
| <b>Prior Approvals</b>  |   |   |   |   |   |                               |
| Initiate prior approvals for changes to project                             | x   |   |   |   |   |                               |
| Approve or forward to sponsor prior approvals for changes to project        |   |   |   | x |   |                               |
| Ensure regulatory compliance offices are notified of changes to project     | x   |   |   |   |   |                               |
| <b>Subcontracts and Subawards</b>   |   |   |   |   |   |                               |
| Oversee programmatic aspects of subcontract/subaward                        | x   |   |   |   |   |                               |
| Prepare, negotiate, and sign subcontracts/subawards                         |   |   |   |   |   |                               |
|   |   |   |   | x |   |                               |
| Review and approve subcontract invoices                                     | x   |   |   | x |   |                               |
| Conduct subrecipient monitoring   | x   |   |   | x |   |                               |
| <b>Technical Reports</b>  |   |   |   |   |   |                               |
| Prepare and submit technical reports to sponsor                             | x   |   |   |   |   |                               |
| Maintain the official copy of the technical report                          | x   |   |   |   |   |                               |
| <b>Compensation Review</b>  |   |   |   |   |   |                               |
| Initiate hiring and appointment process                                     | x   |   |   |   |   |                               |
| Review appointment paperwork  |   | x | x | x |   |                               |
| Review payroll certifications   | x   |   |   |   |   |                               |
| Complete the necessary supervisory reviews                                  | x   |   |   |   |   |                               |
| Review compensation reports   | x   |   |   |   |   |                               |
| Resolve problems  | x   |   |   | x |   |                               |
| <b>Project End and Closeout</b>   |   |   |   |   |   |                               |
| Identify early close-out situations   | x   |   |   | x |   |                               |
| Ensure all appropriate expenditures have been posted to accounts            | x   |   |   | x |   |                               |
| Prepare final financial invoice/report                                      |   |   |   | x |   |                               |
| Approve final financial invoice/report                                      |   |   |   | x |   |                               |
| Resolve issues related to unreconciled accounts                             |   |   |   | x |   |                               |
| Ensure that all financial reports have been submitted to sponsor            | x   |   |   | x |   |                               |
| Ensure that all technical reports have been submitted to sponsor            | x   |   |   | x |   |                               |
| Ensure that all final invention reports have been submitted to sponsor      | x   |   |   | x | x | Office of Technology Transfer |
| Ensure that all patent reports have been submitted to sponsor               | x   |   |   | x | x | Office of Technology Transfer |
| Ensure that all required publication reports have been submitted to sponsor | x   |   |   | x |   |                               |
| Inactivate award account(s) in financial accounting system                  |   |   |   | x |   |                               |
| Maintain official project documents for sponsored projects                  | x   |   |   | x |   |                               |
| <b>A-133 Audit</b>  |   |   |   |   |   |                               |
| Coordinate the A-133 audit for the entire university                        |   |   |   | x |   |                               |
| <b>PI/PD Definition</b>   | The <b>principal investigator (PI) or project director (PD)</b> is the primary individual in charge of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project. The principal investigator reports to a unit head (or other designated official). |   |   |   |   |                               |

|  |  |
|--|--|
| <b>Department</b>                      | <u>Department Head</u> : The department head is an academic leader with programmatic, managerial and fiscal responsibilities for a designated area, such as a department, division, school or center. The department head reports to a dean.   |
| <b>Dean</b>                            | <u>Deans</u> are academic leaders who have programmatic, managerial and fiscal responsibilities for a college or school. The dean's office, the administrative center for a school or college, may include one or more Associate Deans, who report to the Dean, as well as administrative staff.   |
| <b>Office of Research and Projects</b> | The ORP/The Graduate School is the only Institutional unit legally able to submit proposals to external entities for financial support in the form of a contract, grant, or agreement, and legally able to commit the University on behalf of the Board of Trustees in the event an award is made. The head of ORP/The Graduate School is designatad as the Institutional Official and has the authority to sign submitted proposals, to receive awards and to conduct any other official business with funding agencies, whether federal or private. These authorities may be delegated. The head of ORP is the Associate Provost for Research. |