Roles & Responsibilities

RESEARCH AND INNOVATION SPONSORED PROGRAMS — VIRGINIA TECH

Pre-Award

Proposal Preparation--Sponsor

	Lead PI	CO-PI or CO-I	Dept. Personnel *Lead PI*	Dept. Personnel *CO-PI/CO-I*	OSP Pre-Award	OSP Contracts & Agreements	OSP Post-Award	OSP Financial Compliance	ORI	External to ORI
Identifies sponsor solicitation and disseminates	●									
Reviews sponsor solicitation	●		●		●					
Provides guidance and interpretation of federal regulations, agency specific requirements, and UD policies & procedures			●		●					
Limited Submission-applying for approval	●									
Limited Submission-notifying of approval									●	
Prepares and submits letter of intent to sponsor	●									
Prepares proposal cover letter (if applicable)			●		●					
Prepares proposal cover page	●		●							
Prepares table of contents (if applicable)	●		●							
Prepares references cited	●	●								
Prepares project summary/abstract	●	●								
Prepares project description/research narrative	●	●								
Prepares/collects biosketches	●		●							
Prepares internal project budget(s) & justification(s)	●		●		●					
Gathers and documents cost share as required by the sponsor	●		●							
Fills in sponsor required budget forms	●		●							
Reviews/accepts project budgets for compliance with proposal guidelines and budget before routing for internal approvals in Summit	●		●		●					
Prepares/collects current/pending support	●		●							
Prepares post-doc mentoring plan	●	●								
Prepares data management plan	●	●								
Prepares facilities/equipment and other resources	●	●								
Completes other sponsor required forms (i.e. sub data sheet, reps & certs, financial info forms, etc.)	●	●								
Collects other supplementary documents including letters of support	●	●	●							
Completes and uploads documents to sponsor system	●	●	●							

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Reviews final proposal for adherence to sponsor & institutional guidelines			●		●					
Submits the proposal			●		●					
Proposal Preparation--Subawards										
Prepares/collects required subrecipient documentation (Subrecipient form, SOW, budget & justification, IDC agreement, & letter of intent to collaborate)	●	●	●							
Approves Subaward SOW & budget for inclusion in proposal	●		●							
Prepares/collects subrecipient facilities/equipment and resources & letters of support	●		●							
Enters subaward proposal into sponsor required formats	●		●							
Confirms subrecipient's forms are complete and correct					●					
Proposal Preparation--Summit										
Determine lead department for proposal preparation	●									
Identify lead department code for proposal	●									
Determine F&A distribution by project (subfunds/FormC)	●	●	●	●						
Accepts budget in Summit	●		●		●					
Completes compliance questions in Summit	●		●							
Completes cost share documentation in Summit	●		●							
Route proposal for approval in Summit	●		●							
Verifies that all information in Summit is accurate	●									
Finalizes proposal in Summit after submission					●					
Submission by Lead PI in collaboration with Research Development (Atypical for college/institute)										
Identifies large funding opportunities aligned with UD strategic initiatives and disseminates									●	
Identifies limited submission solicitations, disseminates opportunities, and manages the selection process									●	

Pre-Award

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Provides guidance and unobtrusive project management supervision									●	
Attends and actively participates in conceptual proposal development and follow-up meetings	●		●						●	
Provides secure document management for large proposal files with shared server space for proposal team members									●	
After Submission										
Completes Just-in-Time Requests in sponsor systems	●		●							
Submits Just-in-Time Requests in sponsor systems			●		●					
Checks with sponsor on status of proposal	●		●							
Updates budget/sponsor forms at request of sponsor	●		●		●					

Pre-Award (vertical row label)

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Reviews and executes all awards, agreements, and initiated subawards						●Specialist ●Negotiator				
Reviews the agreement and works with the faculty and sponsor to negotiate appropriate terms and conditions that meet sponsor, state, and university policies and procedures						●Negotiator				
Create and assign tasks needed to be carried out to successfully process and negotiate the award						●Specialist ●Negotiator				
Approves unique terms and conditions related to performance	●	●	●	●						
Establishes award funds in accordance with award documentation							●Award Set Up			
Accepts awards on behalf of the University, including modifications to existing awards						●Negotiator				
Analyze upcoming and new federal contracting regulations						●Negotiator		●	●	
Initiates an agreement request in Summit Agreements and sends PI Verification Email						●Specialist				
Respond to PI Verification Email	●		●							

Contracts and Agreements

Roles & Responsibilities

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Proposal/Award Set-up										
Review proposal documentation and award documentation	●		●		●	● Specialist ● Negotiator	● Award Setup	●		
Confirm/update budget if necessary prior to award	●		●		●	● Specialist ● Negotiator				
Prepare and distribute the notice of award to the Principal Investigator and the Research Administrator							● Award Setup			
Establish speed-type and chart-field setup for projects							● Award Setup			
Modify budget in PAN system							● Award Setup			
Review Summit entries that contract team makes for accuracy							● Award Setup			
Adds billing and reporting info, controller's office codes to summit agreements for award set up into banner.							● Award Setup			
Manually enter award info into banner or validates award info entered by bot.							● Award Setup			
Completes pan on new awards and enters billing info into AMS system							● Award Setup			
Grant/Contract Management										
Provides overall project and financial oversight	●			●			● Grant Mgt.			
Manages substantive modifications and re-budgeting							● Grant Mgt.			
Prepares non-technical deliverables as required							● Grant Mgt. ● Financial Mgt.			
Posts cost share expenditures to cost share funds	●	●	●	●						
Reviews cost share expenditures for compliance, reports cost share to sponsor							● Grant Mgt.			
Approves subaward invoices, confirms technical work is completed by subaward	●									
Processes subaward invoices and modifications							● Grant Mgt.			

Post-Award

Roles & Responsibilities	Lead PI	CO-PI or CO-I	Dept. Personnel *Lead PI*	Dept. Personnel *CO-PI/CO-I*	OSP Pre-Award	OSP Contracts & Agreements	OSP Post-Award	OSP Financial Compliance	ORI	External to ORI
Updates the Award management System with notes, documents and completes necessary tasks							● Grant Mgt. ● Financial Mgt.			
Initiates Closeout	●									
Confirms final charges have posted in Banner, Uploads copy of final technical report in Award Management system	●		●							
Review, complete and submit closeout checklist in a timely manner							● Grant Mgt. ● Financial Mgt.			
Close and inactivate awards/projects in the University financial system							● Grant Mgt.			
Complete and submit technical reports in a timely manner (interim and final)	●	●								
Proof indirect costs							● Grant Mgt.			
Initiate request for budget revision	●	●								
Assist principal investigator with request for budget revision							● Grant Mgt.			
Initiate request for no-cost extension	●	●								
Process no-cost extensions in accordance with University and sponsor guidelines							● Grant Mgt.			
Prepares cost transfers (JV or LR) in accordance with University and federal policy and procedures			●	●						
Upload reports in sponsors' systems	●	●								
Initiate/Approve purchase transactions based on approved budget and in accordance with sponsor restrictions.	●	●								
Financial Management										
Manages revenue collection							● Cash Mgt. ● Financial Mgt.			
Submits financial reports & final invoices							● Financial Mgt.			

Post-Award

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Prepare and submit billing for all sponsored research awards							● Financial Mgt.			
Assist with collection efforts on past due invoices as needed							● Cash Mgt. ● Financial Mgt.			
Prepare and submit financial, patent & equipment inventory reports (interim and final)							● Financial Mgt.			
Upload reports in sponsors' systems							● Financial Mgt.			
Cash Management										
Receive and post payments							● Cash Mgt.			
Process letter of credit drawdowns							● Cash Mgt.			
Comply with Foundation Funds Guidelines							● Cash Mgt.			
Initiate requisitions for subaward agreements after receipt of award							● Cash Mgt.			
Approve/forward ISR requisitions in Hokie Mart							● Cash Mgt.			
Initiate collection activity on past due invoices							● Cash Mgt.			

Post-Award

Roles & Responsibilities — RESEARCH AND INNOVATION SPONSORED PROGRAMS VIRGINIA TECH

Financial Compliance and Integrity

Roles & Responsibilities	Lead PI	CO-PI or CO-I	Dept. Personnel *Lead PI*	Dept. Personnel *CO-PI/CO-I*	OSP Pre-Award	OSP Contracts & Agreements	OSP Post-Award	OSP Financial Compliance	ORI	External to ORI
Manage the Effort Reporting process: Review Effort reports prior to releasing them to the departments to ensure accuracy of the effort reports generated; Release the effort reports to the departments; consistently work with the departments to ensure that the effort reports are pre-reviewed and certified accurately and timely.	●	●	●	●			● Grant Mgt.	●		Controller's Office
Monitor expenditures to ensure allowability, allocability and reasonableness (Expenditures charged after grant end date, expenditures charged within last 90 days of grant end date; Specific expenditures review)	●	●	●	●			● Grant Mgt.	●		
Review and approve labor cost transfers in a timely manner.	●	●	●	●			● Grant Mgt.	●		
Review and approve non-labor transfers over $2,000. Also review non- labor cost transfers below $2,000 for accuracy and allowability after they are posted.	●	●	●	●			● Grant Mgt.	●		
Review and manage cost accounting standard (CAS) transactions (expenses which would normally be charged as administrative costs but were actually charged as direct costs)	●	●	●	●			● Grant Mgt.	●		
Main Point of Contact for internal and external audits and investigations related to sponsored research: Respond to the audit requirements – complete Risk Assessments and Questionnaires; provide requested documentation; document the Management Action Plans if VT has any findings and recommendations	●	●	●	●			● Grant Mgt.	●		Internal Audit; Controller's Office
Review grants where expenses are not charged 60 days after issuance of the Project Authorization Notice (PAN) was issued.	●	●	●	●				●		

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Conduct cost share review to ensure that committed cost sharing is met and adequately supported.							● Grant Mgt.	●		
DHHS salary cap/cost-sharing review: Conduct a review of salary costs charged to DHHS-funded projects for each personnel whose salary is above the Executive Level II salary cap; to ensure that their effort is charged to the grant fund at the capped rate, and to ensure that the allocable portion of their salary above the capped rate is being cost-shared.	●	●	●	●			● Grant Mgt.	●		Controller's Office
Conduct a review of the NSF reports submitted by the PIs to NSF to ensure accuracy of associates charged to the grants.	●	●	●	●			● Grant Mgt.	●		
NSF two months' salary review: Conduct a review Senior personnel for NSF grants to ensure that not more than two months of their salary is charged to all NSF grants.	●	●	●	●			● Grant Mgt.	●		
Monitor grants burn rate to ensure the expenses incurred correlate with the grant's period of performance.	●	●	●	●			● Grant Mgt.	●		
Project Closeouts: Ensure final invoices and final financial report submitted to sponsor timely and accurately; and also grants are terminated timely per sponsor requirements.	●	●	●	●			● Grant Mgt.	●		
Conduct a review of effort reports for associates who reported 100% of their effort to sponsored funds to determine that they did not teach or submit proposals.	●	●	●	●			● Grant Mgt.	●		
Assist SIRC on Responsible Conduct of Research (RCR) training requirements of researchers.	●	●	●	●				●	SIRC	

Financial Compliance and Integrity

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Assist with Subrecipient Monitoring: Obtain and review annual audit reports from active subrecipients, to be used in OSP's risk assessment of the subrecipient. If there are audit findings related to sponsored research, coordinate with Contracts Team and Post-Award on action to take to manage the risks.						●Specialist ●Negotiator	● Grant Mgt.	●		Sub-recipients
Provide VT's audit reports/responses/certifications requested by our prime sponsors or pass-through-entity sponsors when VT is the subrecipient.					●	●Specialist ●Negotiator	● Grant Mgt.	●		
Keep abreast with emerging financial compliance issues in sponsored research.							● Grant Mgt. ● Financial Mgt.	●	●	
Review and revise sponsored research related policies and procedures.							● Grant Mgt. ● Financial Mgt.	●		Controller's Office
Liaison with Internal Audit: Meet with the Director of Internal audit to discuss the Annual audit plan related to sponsored research; discuss issued faced by Internal Audit/OSP; provide guidance to the internal auditors as required.								●		Internal Audit
Provide training and guidance to university faculty and staff on proper financial management of their sponsored funding and on questions related to allowability and allocability of costs, in accordance with applicable regulations, policies and procedures.					●	●Specialist ●Negotiator	● Grant Mgt.	●	●	Controller's Office; Procurement; HR; Central Financial Management Team

Financial Compliance and Integrity