

SALISBURY UNIVERSITY SPONSORED PROGRAM ROLES & RESPONSIBILITIES

	Principal Investigator	Department Chair	Dean or Vp	School Admin	Office of Sponsored Projects			Admin and Finance	Dean of GSR	Provost
					DIR.	PRE	POST			
PROPOSAL PREPARATION										
Search for opportunities	X	X	X	X	X	X		X		
Provide guidance on funding opportunities		X	X	X	X	X				
Write technical narrative	X									
Identify subcontractors and request budget and workscope materials	X					X				
Requesting/Approving course release or download time	X	X	X							
Develop budget	X		X			X				
Identify need for cost sharing funds	X					X				
Evaluate requests for F&A waivers or reductions			X	X				X		
Coordinate space arrangements		X	X							
Provide expert guidance on proposal preparation				X	X					
Coordinate completion of the proposal routing form	X					X				
REGULATORY REQUIREMENTS										
Complete compliance forms: Institutional Review Board, Animal Care and Use, Dept of Health & Safety	X									
Complete conflict of interest disclosure	X									
Review conflict of interest disclosure form and facilitate institutional oversight				X				X		
Ensure all IRB, IACUC applications submitted and under review	X			X	X					
PROPOSAL REVIEW AND APPROVAL										
Confirm that proposal meets sponsor requirements	X					X				
Review proposal before sending to Research Office	X									
Verify that cost sharing in proposal is listed on routing form	X					X				
Review proposed cost sharing for appropriateness	X	X		X						
Review and approval of proposal via routing form ^o	X	X	X	X				X ^o	X	X ^o
PROPOSAL SUBMISSION										
Send proposal to sponsors after institutional approval						X				
AWARD ACCEPTANCE (Official acceptance by the University)										
Accept sponsor notification of grant or contract award				X				X		
Review contractual terms and conditions with PI	X			X						
Negotiate sponsor requests for budget and/or scope modifications	X	X	X	X						
Negotiate contractual terms and conditions with sponsor - secure legal review as needed				X				X	X	X
Approve award terms and conditions				X				X	X	X
Review subcontract/subaward documents - secure legal review as needed	X			X	X					
Signature authority of contracts								X		X

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AWARD SET-UP										
Identify need for pre-award or advance project							X			
Request pre-award or advance project				X						
Confirm that all regulatory compliance requirements have been met							X			
Modify proposed budget	X					X				
Prepare award summary documents							X			
Establish project code in PeopleSoft								X		
Gather signing authority information								X		
Initial meeting regarding managing sponsored project (purchasing, travel, HR, etc.)	X		X	X		X	X			
CONDUCTING THE PROJECT - FINANCIAL										
Initiate purchases	X		X							
Prepare financial transactions (employment contracts, POs, Sole Source, etc.)							X			
Advise Research Office of changes or updates to financial transactions requests								X		
Process and complete financial, procurement and employment transactions								X		
Initiate re-budget requests	X						X			
Approve and submit re-budget requests ¹	X ¹						X			
Initiate no-cost extensions	X						X			
Approve no-cost extensions (or forward to Sponsor) ¹	X ¹			X			X			
Update Peoplesoft to reflect revised budget and/or time extensions								X		
Ensure that cost sharing is documented	X						X			
Review and approve expense transactions (Pre-audit [A-21])								X		
Use financial reports to monitor and oversee expenditures	X						X			
Reconcile accounts on a regular basis and distribute to PIs and Deans							X			
Coordinate resolution of issues on oversight reports							X			
PROGRAM INCOME										
Identify program income	X					X	X			
Receive and reconcile program income (registrations). Submit information to Cashier's office.	X		X				X			
Apply to appropriate project and deposit	X						X	X		
Identify use and reportability of program income	X						X			
Monitor program income levels	X						X			
INVOICING AND FINANCIAL REPORTING										
Provide invoice information to Administration and Finance							X			
Create and submit invoice to sponsor								X		
Prepare and submit financial reports							X			
ACCOUNTS RECEIVABLE MANAGEMENT										
Receive and deposit payments from sponsors								X		
Produce and record a letter of credit draw request (federal awards)				X			X			
Monitor and pursue the collections of overdue payments from sponsors				X			X			

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CONDUCTING THE PROJECT - GENERAL										
Review and approve incoming Material Transfer Agreements -- secure legal review as needed.					X			X	X	
Complete invention disclosure form	X									
Ensure integrity of notebooks and data	X									
PRIOR APPROVALS										
Initiate prior approvals for changes to projects	X									
Approve or forward to Sponsor prior approvals for changes to project							X			
Ensure regulatory compliance offices are notified of changes to project							X			
SUBCONTRACT AND SUBAWARDS										
Oversee scientific aspects of subcontract/subaward	X									
Prepare, negotiate, and sign subcontracts/subawards						X		X	X	X
Review and approve subcontract invoices	X						X			
Subrecipient monitoring				X			X			
TECHNICAL/SCIENTIFIC (NON-FINANCIAL) REPORTS										
Prepare and submit progress reports to sponsor	X									
Maintain the official copy of the progress report	X									
PERSONNEL AND EFFORT CERTIFICATION										
Initiate hiring process	X						X			
Maintain the effort certification database and reporting system				X						
Complete necessary adjustments to award charges and/or payroll distribution				X			X			
Obtain necessary supervisory reviews and approvals				X			X			
Ensure accuracy of completed effort certification reports				X			X			
Resolve problems or follow up on certifications not submitted				X			X			
PROJECT END AND CLOSEOUT										
Identify early close-out situations	X		X				X			
Ensure all appropriate expenditures have been posted to projects	X		X				X			
Prepare final financial invoice/report							X			
Approve final financial invoice/report	X			X						
Resolve issues related to unreconciled accounts							X			
Ensure that all financial reports have been submitted to sponsor				X			X			
Ensure that all final invention reports have been submitted to sponsor	X						X			
Ensure that the final scientific report and data sharing requirements have been met and submitted.	X									
Ensure that all patent reports have been submitted to sponsor	X			X				X		
Inactivate award project code in PeopleSoft							X	X		
Maintain official project documents for sponsored projects (Sponsor correspondence, financial reports)							X			
Coordinate the A-133 audit for the entire University								X	X	

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ONGOING TRAINING										
Provide training to the research community regarding changes to policies and regulations					X	X	X		X	

NOTES:

⁰ Approval required by Provost, VP of Admin & Finance, and Dean of Graduate Studies and Research for proposals over \$10,000.

¹ Any correspondence between PI and Sponsor should include Research Office