Life Cycle of a Sponsored Award--Roles and Responsibilities

Award Processes and Tasks	Principal Investigator	Department Personnel	Office of Sponsored Programs	Office of Research & Innovation
Pre-Award/Proposal				
Proposal Preparation--Sponsor				
Identify and disseminate sponsor solicitation.	PI			
Review sponsor solicitation.	PI	DP	OSP	
Provide guidance and interpretation of federal regulations, agency specific requirements, and university policies and procedures.		DP	OSP	
Apply for approval for limited submission.	PI			
Notify approval of limited submission.				ORI
Prepare and submit letter of intent to sponsor.	PI			
Prepare proposal cover letter (if applicable).		DP	OSP	
Prepare proposal cover page.	PI	DP		
Prepare table of contents (if applicable).	PI	DP		
Prepare references cited.	PI			
Prepare project summary/abstract.	PI			
Prepare project description/research narrative.	PI			
Prepare/collect biosketches.	PI	DP		
Prepare internal project budget(s).	PI	DP	OSP	
Prepare budget justification(s).	PI	DP		
Gather and document cost share as required by the sponsor.	PI	DP		
Fill in sponsor required budget forms.	PI	DP		
Review/accept project budgets for compliance with proposal guidelines and budget before routing for internal approvals in Summit.	PI	DP	OSP	
Prepare/collect current and pending support.	PI	DP		
Prepare post-doc mentoring plan.	PI			
Prepare data management plan.	PI			
Prepare facilities/equipment and other resources.	PI			
Complete subrecipient data sheet.			OSP	
Complete representations and certifications and financial info forms.			OSP	
Complete other sponsor required forms.	PI	DP		
Collect other supplementary documents including letters of support.	PI	DP		
Complete and upload documents to sponsor system.	PI	DP		
Review final proposal for adherence to sponsor and institutional guidelines.	PI	DP	OSP	
Submit the proposal.		DP	OSP	

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Proposal Preparation--Subawards				
Prepare/collect required subrecipient documentation: subrecipient form, statement of work (SOW), budget and justification, indirect cost (IDC) agreement, and letter of intent to collaborate).	PI	DP		
Approve subaward SOW and budget for inclusion in proposal.	PI	DP		
Prepare/collect subrecipient facilities/equipment and resources and letters of support.	PI	DP		
Enter subaward proposal into sponsor required formats.	PI	DP		
Confirm subrecipient's forms are complete and correct.			OSP	
Proposal Preparation--Summit				
Determine lead department for proposal preparation.	PI			
Identify lead department code for proposal.	PI			
Determine F&A distribution by project (subfunds/Form C).	PI	DP		
Accept budget in Summit.	PI	DP	OSP	
Complete compliance questions in Summit.	PI	DP		
Complete cost share documentation in Summit.	PI	DP		
Route proposal for approval in Summit.	PI	DP		
Verify that all information in Summit is accurate.	PI			
Finalize proposal in Summit after submission.			OSP	
Submission by Lead PI in collaboration with Research Development (atypical for college/institute)				
Identify and disseminate large funding opportunities aligned with university strategic initiatives.				ORI
Identify limited submission solicitations, disseminate opportunities, and manage the selection process.				ORI
Provide guidance and unobtrusive project management supervision.				ORI
Attend and actively participate in conceptual proposal development and follow-up meetings.	PI	DP		ORI
Provide secure document management for large proposal files with shared server space for proposal team members.				ORI
After Submission				
Complete Just-in-Time requests in sponsor systems.	PI	DP		
Submit Just-in-Time requests in sponsor systems.		DP	OSP	
Check with sponsor on status of proposal.	PI	DP		
Update budget/sponsor forms at request of sponsor.	PI	DP	OSP	

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Contracts and Agreements				
Contracts Specialists and Negotiators				
Review and execute all awards, agreements, and initiated subawards.			OSP	
Review the agreement and work with the faculty and sponsor to negotiate appropriate terms and conditions that meet sponsor, state, and university policies and procedures.			OSP	
Create and assign tasks needed to be carried out to successfully process and negotiate the award.			OSP	
Approve unique terms and conditions related to performance.	PI	DP		
Establish award funds in accordance with award documentation.			OSP	
Accept awards on behalf of the university, including modifications to existing awards.			OSP	
Analyze upcoming and new federal contracting regulations.			OSP	ORI
Initiate an agreement request in Summit Agreements and send PI Verification Email.			OSP	
Respond to PI Verification Email.	PI	DP		
Proposal/Award Set Up				
Review proposal documentation and award documentation.	PI	DP	OSP	
Confirm/update budget if necessary prior to award.	PI	DP	OSP	
Prepare and distribute the notice of award to the principal investigator and the research administrator.			OSP	
Establish speed-type and chart-field setup for projects.			OSP	
Modify budget in Project Authorization Notice (PAN) system.			OSP	
Review Summit entries that contract team makes for accuracy.			OSP	
Add billing and reporting information, Controller's office codes to Summit Agreements for award set up into Banner.			OSP	
Manually enter award information into Banner or validate award information entered by automated software (BOT).			OSP	

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Post-Award				
Grant/Contract Management				
Provide overall project and financial oversight.	PI	DP	OSP	
Manage substantive modifications and re-budgeting.			OSP	
Prepare and submit non-technical deliverables (does not include closeout reporting) as required (in sponsor's online system when required).			OSP	
Post not-in-Banner cost share expenditures to cost share funds.	PI	DP		
Review cost share expenditures for compliance; report cost share to sponsor.			OSP	
Approve subaward invoices; confirm technical work is completed by subaward.	PI			
Process subaward invoices and modifications.			OSP	
Update the Award Management System with notes and documents; completes necessary tasks.			OSP	
Initiate closeout.	PI			
Confirm final charges have posted in Banner; upload copy of final technical report in Award Management System.	PI	DP		
Review, complete, and submit closeout checklist in a timely manner.			OSP	
Close and inactivate awards/projects in the university financial system.			OSP	
Complete and submit technical reports in a timely manner (interim and final).	PI			
Proof indirect costs.			OSP	
Initiate request for budget revision.	PI			
Assist principal investigator with request for budget revision, including preparation of budget document and any of the documents required by sponsor.			OSP	
Initiate request for no-cost extension.	PI			
Process no-cost extensions in accordance with university and sponsor guidelines (in sponsor's online systems when required).			OSP	
Prepare cost transfers journal voucher (JV) or labor redistribution (LR) in accordance with university and federal policy and procedures.		DP		
Upload reports in sponsors' systems.	PI			
Process no-cost extensions in accordance with university and sponsor guidelines (in sponsors' online systems when required).	PI			

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Prepare and submit closeout paperwork as required by sponsor includes patent and property reporting.			OSP	
Prepare and complete PI transfer, award transfer, relinquishment requests.			OSP	
Prepare and complete carry over requests.			OSP	
Financial Management				
Review the PAN notice received: 1. For new awards establish award pending events. 2. For existing awards revise the end date for awards that are extended in Banner.			OSP	
Confirm that the billing and reporting terms for new grants are accurate. For special billing terms make notes in Award Management System billing section and bill the sponsor per the requirements.			OSP	
Prepare and submit invoices (Banner reports, supporting documents if required) for all sponsored research awards.			OSP	
Prepare and submit required interim and final financial reports and contractor release report (patent and equipment inventory reports – grant management team's responsibility).			OSP	
Follow up with sponsor on past due invoices as needed.			OSP	
Work with cash management team on accounts receivable (GBAG) report for past due invoices.			OSP	
Cash Management				
Receive and post payments.			OSP	
Process letter of credit drawdowns.			OSP	
Comply with foundation funds guidelines.			OSP	
Manage, cradle to grave, all unrestricted various and foundation funds.			OSP	
Initiate requisitions for subaward agreements after receipt of award.			OSP	
Approve/forward interdepartmental service requests (ISR) requisitions in Hokie Mart.			OSP	
Manage sponsor cash flow issues and write-off/collections activity.			OSP	
Manage the GBAG report. Prepare, distribute, ensure comments/action items are up to date, and present to the credit committee at the monthly meetings.			OSP	
Manage, retrieve, and store records.			OSP	

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Financial Compliance and Integrity				
Effort Reporting Process				
Review effort reports prior to releasing them to the departments to ensure accuracy of the effort reports generated.			OSP	
Release the effort reports to the departments.	PI	DP	OSP	
Consistently work with the departments to ensure that the effort reports are pre-reviewed and certified accurately and in timely manner.	PI	DP	OSP	
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.	PI	DP	OSP	
Cost Transfers				
Generate the labor redistribution reports on a daily basis.			OSP	
Review the labor redistributions and approve or return them.	PI	DP	OSP	
Review operational expenses (non-labor) journal entries over $2,000. Approve or return them.	PI	DP	OSP	
Review the journal entries within 90 days from the original posting date report received from the Controller's office for accuracy and timeliness after they are posted.	PI	DP	OSP	
Cost Account Standard (CAS) Transactions				
Review the CAS transactions and confirm accuracy of these transactions.	PI	DP	OSP	
Subrecipients' Audit Reports				
Obtain and review annual audit reports from active subrecipients.			OSP	
If there are audit findings related to sponsored research, coordinate with contracts and agreements team on action to be taken to manage the risks.			OSP	
Provide Virginia Tech's audit reports/responses/ certifications requested by our prime sponsors or pass-through-entity sponsors when Virginia Tech is the subrecipient.			OSP	

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Expenditures				
Monitor expenditures to ensure allowability, allocability, and reasonableness: 1. expenditures charged after grant end date. 2. expenditures charged within the last 90 days of grant end date. 3. specific expenditures review.	PI	DP	OSP	
Monitor grant's burn rate to ensure the expenses incurred correlate with the grant's period of performance.	PI	DP	OSP	
Review grants where expenses are not charged 60 days after issuance of the Project Authorization Notice (PAN).	PI	DP	OSP	
Conduct cost share review to ensure that committed cost sharing is met and adequately supported.			OSP	
Department of Health and Human Services (DHHS) salary cap/cost-sharing review: 1. Conduct a review of salary costs charged to DHHS-funded projects for each personnel whose salary is above the Executive Level II salary cap; 2. Ensure that their effort is charged to the grant fund at the capped rate; 3. Ensure that the allocable portion of their salary above the capped rate is being cost-shared.	PI	DP	OSP	
Conduct a review of the National Science Foundation (NSF) reports submitted by principal investigators to NSF to ensure accuracy of associates charged to the grants.	PI	DP	OSP	
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.	PI	DP	OSP	
Project Closeouts: 1. Ensure final invoices and final financial report submitted to sponsor timely and accurately; 2. Ensure grants are terminated in a timely manner per sponsor requirements.	PI	DP	OSP	
Audits and Internal Controls				
Main contact for sponsored research audits – internal and external.			OSP	
Respond to the audit requirements.	PI	DP	OSP	
Complete risk assessments and questionnaires.	PI	DP	OSP	
Provide requested documentation.	PI	DP	OSP	
Document the Management Action Plans if Virginia Tech has any findings and recommendations.	PI	DP	OSP	

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Miscellaneous Functions				
Assist the division of Scholarly Integrity and Research Compliance (SIRC) with Responsible Conduct of Research (RCR) training requirements of researchers.	PI	DP	OSP	
Keep abreast with emerging financial compliance issues in sponsored research.			OSP	
Review and revise sponsored research related policies and procedures.			OSP	
Liaison with Internal Audit: 1. Meet with the director of internal audit to discuss the Annual audit plan related to sponsored research; 2. Discuss issued faced by Internal Audit/OSP; 3. Provide guidance to the internal auditors as required.			OSP	
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.			OSP	