# Sponsored Research Project Lifecycle: Roles & Responsibilities

<table>
<thead>
<tr>
<th>FINDING FUNDING</th>
<th>Principal Investigator (PI)</th>
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</table>
| Solicitation    | - Review solicitation and understand sponsor technical and administrative requirements  
                  - Provide sponsor, solicitation guidelines, and link to or copy of guidelines/instructions to Department/School Administrator  
                  - Provide solicitor, solicitation guidelines, and link to or copy of guidelines/instructions Office of Sponsored Programs at least 2 business days prior to the sponsor’s application deadline  
                  - Review solicitation and understand sponsor administrative requirements, identify any atypical requirements and alert the PI and SP | - Review solicitation and understand sponsor administrative requirements  
                  - Identify any atypical requirements and alert Department/School Administrator/Principal Investigator (submission timeline dependent) | - Review solicitation and understand sponsor administrative requirements  
                  - Identify any atypical requirements and alert Department/School Administrator/Principal Investigator (submission timeline dependent) | - Review solicitation and understand sponsor administrative requirements  
                  - Identify any atypical requirements and alert Department/School Administrator/Principal Investigator (submission timeline dependent) |
| PREPARE A PROPOSAL | - Full responsibility for the accuracy and completeness of entire application  
                  - Ensure all final versions of all administrative components are ready to submit to Office of Sponsored Programs within 5 business days of the sponsor application deadline  
                  - Submit all final versions of all technical components to Office of Sponsored Programs within 5 business days of the sponsor application deadline | - Assemble all pieces of application, including assistance with data entry and completing BU and sponsor forms  
                  - Ensure there are no errors that would prevent submission  
                  - Review to ensure that institutional and sponsor guidelines are met and all internal approvals are obtained (such as cost-share, F&A waiver, PI status) | - Verify all institutional guidelines are met and necessary approvals are in place  
                  - Verify no errors that would prevent submission  
                  - Ensure all sponsor requirements are met (submission timeline dependent) | - Review application for any formatting or other issues that would prevent submission  
                  - Review for any formatting or other issues that would prevent submission  
                  - Ensure that all institutional commitments are appropriately identified and approved (submission timeline dependent)  
                  - Ensure all non-technical/programmatic sponsor guidelines are met (submission timeline dependent) |
| Entire Application | - Full responsibility for the accuracy and completeness of entire application  
                  - Ensure all final versions of all technical components are ready to submit to Office of Sponsored Programs within 3 business days of the sponsor application deadline  
                  - Submit all final versions of all technical components to Office of Sponsored Programs within 3 business days of the sponsor application deadline | - Review formatting and page limits on all documents for sponsor required standards  
                  - Ensure there are no errors that would prevent submission | - Review application for any formatting or other issues that would prevent submission  
                  - Review for any formatting or other issues that would prevent submission  
                  - Ensure that all institutional commitments are appropriately identified and approved (submission timeline dependent)  
                  - Ensure all non-technical/programmatic sponsor guidelines are met (submission timeline dependent) | - Review application for any formatting or other issues that would prevent submission  
                  - Review for any formatting or other issues that would prevent submission  
                  - Ensure that all institutional commitments are appropriately identified and approved (submission timeline dependent)  
                  - Ensure all non-technical/programmatic sponsor guidelines are met (submission timeline dependent) |
| Scientific Content / Presentation | - Provide any requested information  
                  - As applicable, create some administrative documents (Facilities, Equipment, Biosketch, Multi-Principal Investigator Plan, Data Sharing Plan, Budget Justification)  
                  - Review of documents prior to submission to Office of Sponsored Programs | - Fill in any sponsor forms or documents with requested administrative information  
                  - Review all administrative information for adherence to institutional and sponsor guidelines  
                  - Ensure there are no errors that would prevent submission | - Review administrative information for adherence to institutional policy  
                  - Review administrative information for any issues that would prevent submission  
                  - Ensure all sponsor guidelines are met (submission timeline dependent) | - Review administrative information for adherence to institutional policy  
                  - Review administrative information for any issues that would prevent submission  
                  - Ensure all sponsor guidelines are met (submission timeline dependent) |
| Administrative Content | - Provide any requested information  
                  - As applicable, create some administrative documents (Facilities, Equipment, Biosketch, Multi-Principal Investigator Plan, Data Sharing Plan, Budget Justification)  
                  - Review of documents prior to submission to Office of Sponsored Programs | - Fill in any sponsor forms or documents with requested administrative information  
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                  - Ensure all sponsor guidelines are met (submission timeline dependent) |
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| **Budgets**                                                                              |                                                                                               |                                                                                        | - Verify correct fringe and indirect cost rate has been selected, the base is correct and calculations are accurate | - Verify that the budget justification matches the budget (submission timeline dependent)  
- Verify costs are appropriate and allowable per sponsor guidelines (submission timeline dependent) |
| - Work with Department/School Administrator to create a budget within Funding Opportunity Announcement guidelines that is reasonable for the work being done  
- As required, provide personnel, roles, effort, other cost categories and dollars, and information on sub awardees, if any | - Assist Principal Investigator in developing draft budget  
- Ensure the correct indirect cost and fringe rates are applied and all values are calculated correctly  
- If there is cost share, fill out appropriate forms and ensure they are signed per BU policy  
- Ensure budget follows sponsor/solicitation guidelines and BU policy (e.g. allowability standards)  
- Ensure everything totals properly on all pages and in all years  
- Ensure all line items are listed in the budget justification and that the budget justification numbers match the numbers on the budget  
- When finalized, enter information into the Proposal Summary Form | - Review and Authorize submission  
- Communicate with Principal Investigator during preparation to complete the administrative portions of the application and to answer any questions about administrative items  
- Communicate with subcontractors for administrative documents  
- Communicate with Office of Sponsored Programs during the review process to address any administrative concerns  
- Communicate with Principal Investigator during preparation to complete the administrative portions of the application and to answer any questions about administrative items  
- Communicate with subcontractors for administrative documents  
- Communicate with Office of Sponsored Programs during the review process to address any administrative concerns | - Acknowledge when initial documents are received in Sponsored Programs  
- Communicate required changes/questions to Principal Investigator  
- Communicate the status of application review, approval and submission process at defined process milestones  
- Forward any confirmation or other submission emails from the sponsor |
| **Submission**                                                                            |                                                                                               |                                                                                        | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur |
| - Address any submission errors resulting from electronic systems  
- If required/desired, view submitted applications within the sponsor system to confirm submitted proposal appears as intended  
- Submit proposals through any systems, including hard copy submission, requiring direct entry by the Principal Investigator | - Assist the Principal Investigator in addressing any submission errors resulting from electronic systems  
- Assist the Principal Investigator in any Principal Investigator-submitted applications, including data and information entry | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur |
| **Just in Time (JIT)**                                                                     | - Provides requested information to DA for review.  
- Responsible for the accuracy and completeness of the information provided | - Reviews provided materials obtained by PI and enters them in the sponsor specific portal (if applicable)  
- Notifies SP RA when ready for final review and submission in order to meet sponsor deadline | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur |
| **Pre Award Communication**                                                               | - Notify department chair/dean/provost about upcoming proposal and any special considerations (cost sharing, Facilities & Administrative cost waiver, etc.)  
- Communicate with co-investigators and encouraging them to notify their department chairs (particularly if special considerations are involved)  
- Communicate with subcontractors to determine scope of work and budget  
- Communicate with Department/School Administrator during preparation process  
- Inform SP RA of unfunded proposal notices | - Communicate with Principal Investigator during preparation to complete the administrative portions of the application and to answer any questions about administrative items  
- Communicate with subcontractors for administrative documents  
- Communicate with Office of Sponsored Programs during the review process to address any administrative concerns | - Recommend edits to proposal documents that are incorrect or not compliant  
- Submit proposals through sponsor-required electronic systems  
- Verify successful submissions through to the funding agenda  
- Follow-up with the investigator and DA when any submission errors occur |
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<tr>
<td><strong>AWARD REVIEW AND ACCEPTANCE</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Award Review and Acceptance</td>
<td>Depending on complexity of term and changes from proposal, PI will be consulted for concurrence</td>
<td>Provide revised documents (ie budget) if required</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes. - Review against original submission. - May negotiate terms and conditions as needed and/or escalate to other central offices (such as OGC, OTD, Compliance) when needed. - Facilitate execution of final award</td>
</tr>
<tr>
<td><strong>AWARD SETUP</strong></td>
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<tr>
<td>Award Notification and Set Up</td>
<td>- Review budget in Business Warehouse (BW), or with Department/School Administrator, to ensure accuracy - Ensures compliance approvals are in place (when applicable) before work starts</td>
<td>- Review budget and award set up fields (Cost Center, Sponsor Award Number, etc.) in Business Warehouse to ensure accuracy - Answers administrative questions as needed</td>
<td>- Establishes account in the system of record and sends Award Notification (AN) to PI, DA, and related parties</td>
</tr>
<tr>
<td>Outgoing Subawards</td>
<td>Confirms and approves issuance of outgoing subaward</td>
<td>Facilitates communication with PI and answers administrative questions as needed</td>
<td>- Conducts risk assessment for subrecipients. - Drafts outgoing subaward agreement incorporating required flowdown of terms and conditions. - Obtains PI authorization and institutional approval. - Documents and shares executed sub agreement with PI, DA, and related parties</td>
</tr>
<tr>
<td><strong>MANAGE AN AWARD</strong></td>
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</tr>
<tr>
<td>Post Award Communication</td>
<td>- Participate in regular meetings with Principal Investigators to review Business Warehouse reports, expenditures, financial reports, and closeouts - Follow-up with Post Award Financial Operations if there are questions about Business Warehouse reports, expenditures, financial reports, and closeouts (including but not limited to over expenditures)</td>
<td></td>
<td>- Regular interaction with Department Administrators to review Business Warehouse reports, expenditures, financial reports, and closeouts (including but not limited to over expenditures)</td>
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<tr>
<td><strong>Expenditure Review</strong></td>
<td></td>
<td></td>
<td>- High level review of items to ensure compliance</td>
</tr>
<tr>
<td>- Monitor spending to ensure compliance with Notice of Award</td>
<td>- Monitor spending to ensure compliance with Notice of Award</td>
<td>- Ensure compliance with BU applicable policies including Sourcing, HR, and Accounts Payable</td>
<td>- Risk review of Concur travel</td>
</tr>
<tr>
<td>- Ensure compliance with BU applicable policies including Sourcing, HR, and Accounts Payable</td>
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<td>- Use After the Fact &lt;hyperlink&gt; guidelines as a tool to assist in review (see below)</td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>SALARY MANAGEMENT</strong></td>
<td></td>
<td></td>
<td>- Ensure all Personnel Activity Reports sum up to 100%</td>
</tr>
<tr>
<td><strong>Personnel Activity Reports</strong></td>
<td>- Review and certify the Principal Investigator’s individual Personnel Activity Reports (PARs) and any Personnel Activity Reports for individuals who work on the Principal Investigator’s sponsored projects (as applicable)</td>
<td>- Ensure personnel Activity Reports to appropriate individuals for certification</td>
<td>- Ensure certified effort is in proper alignment with salary from sponsored funds</td>
</tr>
<tr>
<td>- For investigators with salary in excess of the Department of Health and Human Services salary cap, ensure cost share is listed as appropriate</td>
<td>- Ensure all Personnel Activity Reports are submitted to Post Award Financial Operations prior to due date</td>
<td>- Ensure an appropriate explanation is included for faculty certifying 100% effort on research</td>
<td></td>
</tr>
<tr>
<td>- Ensure effort percentages sum to 100%</td>
<td></td>
<td>- Ensure Personnel Activity Reports for investigators with salary in excess of the Department of Health and Human Services salary cap list cost share appropriately</td>
<td></td>
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<tr>
<td>- For faculty certifying 100% effort on research, ensure the explanation is included</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Subaward Invoices &amp; Subrecipient Monitoring</strong></td>
<td>- Review and sign all subaward invoices when approved for payment</td>
<td>- Review all Personnel Activity Reports (PARs) as required</td>
<td>- Ensure Personnel Activity Reports to appropriate individuals for certification</td>
</tr>
<tr>
<td>- Ensure subaward invoice amount is appropriate in relation to technical work timeline (i.e. subrecipient is not invoicing for 80% of the budget when only 20% of the work is complete)</td>
<td>- Assist in coordination of subaward invoice review, approval and signature</td>
<td>Send Personnel Activity Reports to appropriate individuals for certification</td>
<td></td>
</tr>
<tr>
<td>- Review and sign all subaward invoices when approved for payment</td>
<td>- Review all Personnel Activity Reports (PARs) as required</td>
<td>Ensure Personnel Activity Reports are submitted to Post Award Financial Operations prior to due date</td>
<td>- Ensure Personnel Activity Reports for investigators with salary in excess of the Department of Health and Human Services salary cap list cost share appropriately</td>
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<tr>
<td><strong>Equipment</strong></td>
<td>- Inform Chair, Section Chief, Department Administrator, and Property Management if and when Principal Investigator plans to leave Boston University to ensure equipment is accounted for accordingly</td>
<td>- Place orders using the appropriate General Ledger Expenditure Type. All moveable equipment should be charged to 510100 Non-Capital/Minor Equipment and Property Management will adjust for capital items.</td>
<td>- Approve Non Moveable Capital Equipment purchase orders accordingly and timely</td>
</tr>
<tr>
<td>- If you are transferring to Boston University, inform Property Management of the equipment that you bring with you so BU can account for it properly. This ensures that the property is covered under our insurance</td>
<td>- Ensure old, out dated equipment is disposed of accordingly based on Property Management guidelines</td>
<td>- Notify Office of Sponsored Programs, Post Award Financial Operations, and Property Management when a Principal Investigator is leaving the institution</td>
<td>- Tag equipment</td>
</tr>
<tr>
<td>- Assist Property Management with tagging and inventory processes.</td>
<td>- Notify Property Management if a PI transfers to BU and brings moveable capital equipment with them</td>
<td></td>
<td>- Complete biennial Equipment Inventory</td>
</tr>
<tr>
<td><strong>After the Fact Review</strong></td>
<td>Ensure there is an After the Fact review on a regular basis to ensure all expenditures that are charged to the award are appropriate</td>
<td>Responsible for completion of the AFR on a regular basis to ensure all expenditures that are charged to the award are appropriate</td>
<td>- Prepare Property Reports</td>
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| **Account & Expenditure Reconciliation** | - Review expenditures with Department Administrator to ensure accuracy  
- Confirm technical work is in alignment with expenditure levels (i.e. science is 20% complete but spending is 80% of budget) | - Run Business Warehouse reports on a regular basis e.g. monthly or quarterly  
- Review salary and non-salary expenditures to ensure accuracy | - Communicate with Department/School Administrator on any questions that may arise from account review and reconciliation |
| **Cost Transfers** | - Review and approve greater than 90 day cost transfers as required by BU and federal policy  
- Submit cost transfers on a timely basis  
- Fill out appropriate forms in entirety based on greater than/less than 90 day rules  
- Facilitate Principal Investigator certification when appropriate and required  
- Submit re-certified Payroll Activity Reports when needed | - Process cost transfers as required in a timely manner  
- Review complete forms and information for accuracy and completeness | |
| **Available Balance** | PI’s are responsible for enforcing DA’s of planned expenditures to complete the project  
DA’s are responsible for initiating those transactions in the financial system and ensuring they were processed accordingly; please see AFR  
SP is responsible for the BW Category named Budget.  
PAFO is responsible for the BW Category titled Available Balance; this available balance is what is unspent or unobligated at the time you run the report. Please note it does not include commitments for salary, fringe, or F&A. | | |
| **Cash Management** | - Work with PAFO when necessary as it relates to Outstanding AR  
- Notify PAFO when milestones have been met and invoices need to be submitted to sponsor  
- Work with PAFO when necessary as it relates to Outstanding AR  
- Notify PAFO when milestones have been met and invoices need to be submitted to sponsor | - Responsible for all non-student billing at BU  
- Responsible for the collection of all open Accounts Receivable  
- Responsible for the posting of Sponsored Research and Miscellaneous Receivables | |
| **No Cost Exteision (NCE)** | Notifies DA and SP RA of intention to request NCE at least 90 days prior to project end date  
Notifies SP RA of PI’s intention to request NCE at least 90 days prior to project end date | Reviews request and submits to sponsor. Processes NCE through Award setup once approved by Sponsor. | |
| **CLOSE OUT AN AWARD** | |
| **Financial Reports** | - After receipt of notification of an upcoming Project End Date, work with the Department/School Administrator to conduct a final review of the award balance and expenditures  
- In cases where an available unspent balance requires sponsor approval for carry-forward spending, coordinate with the SP RA and Department/School Administrator to obtain appropriate documentation for the request  
- Review Business Warehouse reports for accuracy and appropriateness of salary and non-salary expenditures  
- Ensure all expenditures have properly posted to the account  
- Confirm all salary has posted and is within the Project Period Dates  
- Closeout all encumbrances  
- Work with Sourcing and Post Award Financial Operations when Small Business Plans are required and if/when vendors are not registered | | - Work with Department Administrator to obtain final confirmation of unspent balance prior to submission of financial reports  
- Update budgets to reflect automatic carryforward funds  
- Reduce commitments for subawards with unspent balances |
| **Non-Financial Reports** | - Prepare progress reports as required by award document; at a minimum this includes at least a final progress/technical report  
- Confirm inventions with the Office of Technology Development/Office of Sponsored Programs | | - Submit Invention/Patent Reports to sponsor on behalf of the Principal Investigator and the Office of Technology Development |