<table>
<thead>
<tr>
<th>Principal Investigator (PI)</th>
<th>Department/School Administrator (DA)*</th>
<th>Sponsored Programs Pre-Award</th>
<th>Sponsored Programs Post-Award</th>
<th>Research Financial Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FINDING FUNDING</strong></td>
<td></td>
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</tr>
<tr>
<td>Solicitation</td>
<td>Review solicitation and understand sponsor administrative requirements, identify any atypical requirements (see examples under &quot;Prepare a Proposal&quot; below) and alert the PI and Sponsored Programs (SP)</td>
<td>Provide sponsor solicitation guidelines, and link to or copy of guidelines/instructions to Sponsored Programs as soon as known or 10 business days prior to the sponsor’s application deadline</td>
<td>Provide sponsor solicitation guidelines, and link to or copy of guidelines/instructions to Sponsored Programs as soon as known or 10 business days prior to the sponsor’s application deadline</td>
<td>Review solicitation and understand sponsor administrative requirements</td>
</tr>
<tr>
<td></td>
<td>- Review and follow solicitation and sponsor technical and administrative requirements</td>
<td></td>
<td></td>
<td>- Identify any atypical requirements and missed information and alert Department/School Administrator/Principal Investigator (submission timeline dependent)</td>
</tr>
<tr>
<td></td>
<td>- Provide sponsor solicitation guidelines, and link to or copy of guidelines/instructions to Department/School Administrator (DA)</td>
<td></td>
<td></td>
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</tr>
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<td></td>
<td>- Provide sponsor solicitation guidelines, and link to or copy of guidelines/instructions to Sponsored Programs as soon as known or 10 business days prior to the sponsor’s application deadline</td>
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<tr>
<td></td>
<td>* Office of Proposal Development (OPD) may fulfill some of the DA’s role on the Med Campus.</td>
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<tr>
<td><strong>PREPARE A PROPOSAL</strong></td>
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<tr>
<td>Entire Application</td>
<td>All responsibility for the accuracy and completeness of the entire application</td>
<td>Assemble all pieces of application, including assistance with data entry and completing BU and sponsor forms</td>
<td>Verify all institutional and sponsor guidelines are met and necessary approvals are in place</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Ensure final versions of all administrative components are ready to submit to Sponsored Programs within 5 business days of the sponsor application deadline</td>
<td>Obtain all subaward proposals or consultants’ letters, if applicable, and incorporate into the proposal.</td>
<td>- Ensure the technical components are included, as per the solicitation (e.g., Specific Aims on an NIH proposal or Intellectual Merits on an NSF proposal).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Ensure final versions of all technical components are ready to submit to Sponsored Programs within 5 business days of the sponsor application deadline</td>
<td>Ensure there are no errors that would prevent submission</td>
<td>Recommend edits to proposal documents that are incorrect or not compliant</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Sign the Proposal Summary Form (PSF) confirming PI certifications</td>
<td>Review to ensure that institutional and sponsor guidelines and policies are met, and all internal approvals are obtained (such as cost share, F&amp;A waiver, PI status)</td>
<td>Verify no errors that would prevent submission</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Ensure financial conflict of interest is disclosed within BU’s Conflict of Interest (COI) office.</td>
<td>- Submit final versions of all administrative components to Sponsored Programs within 5 business days of the sponsor application deadline</td>
<td>- Ensure all non-technical/programmatic sponsor guidelines are met (submission timeline dependent)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>This process includes requests for supplemental funding</td>
<td>- Submit final versions of all technical components to Sponsored Programs within 2 business days of the sponsor application deadline</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scientific Content / Presentation</td>
<td>Full responsibility for entire application</td>
<td>Review formatting and page limits on all documents for sponsor required standards</td>
<td>Verify application for any formatting or other issues that would prevent submission</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Produce all documents (including conversion to Adobe PDF for research strategy and other sensitive scientific documents)</td>
<td>Ensure all components are included</td>
<td>- Verify all institutional commitments are appropriately identified and approved (submission timeline dependent)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Review of documents 3 days prior to submission to Sponsored Programs</td>
<td>Ensure all the forms are in the most current version, as stipulated by the sponsor</td>
<td>- Ensure all non-technical/programmatic sponsor guidelines are met (submission timeline dependent)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ensure there are no errors that would prevent submission</td>
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* General Roles & Responsibilities
<table>
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<tr>
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<tr>
<td><strong>Administrative Content</strong></td>
<td>- Provide any requested information</td>
<td>- Complete any sponsor forms or documents with requested administrative information</td>
<td>- Verify administrative information for adherence to institutional policy</td>
<td>- Verify correct fringe and indirect cost rate has been selected, the base is correct, and calculations are accurate</td>
</tr>
<tr>
<td>- As applicable, create administrative documents</td>
<td>- Review all administrative information for adherence to institutional and sponsor guidelines</td>
<td>- Verify that the budget justification matches the budget (submission timeline dependent)</td>
<td>- Verify that costs are appropriate and allowable per sponsor guidelines and BU policies (submission timeline dependent)</td>
<td></td>
</tr>
<tr>
<td>- Facilities, Equipment, Biosketch, Multi-Principal Investigator Plan, Data Sharing Plan, Budget Justification, Postdoc Mentoring Plan, etc.)</td>
<td>- Ensure there are no errors that would prevent submission</td>
<td>- Verify costs are appropriate and allowable per sponsor guidelines and BU policies (submission timeline dependent)</td>
<td>- Verify total costs listed on SF424 page 2 match the total costs listed in the Cumulative Budget</td>
<td></td>
</tr>
<tr>
<td>- Review and approval of documents 5 days prior to submission to Sponsored Programs</td>
<td>- Review and Authorize submission</td>
<td>- Follow-up with the investigator and DA when any submission errors occur</td>
<td>- Submit proposals through sponsor required electronic systems</td>
<td></td>
</tr>
</tbody>
</table>

**Budgets**

- Work with Department/School Administrator to create a budget within Funding Opportunity Announcement, BU policies and Uniform Guidance for the work being done.
- As required, provide personnel, roles, effort, other cost categories and dollars, and subaward packages, 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.
- Ensure salaries are correct/appropriate for project personnel and ensure that the budget amounts are escalated appropriately.
- If there is cost share, prepare a separate budget.
- Ensure budget follows sponsor/solicitation guidelines and BU policy (e.g., allowability standards, PI 1% minimum effort, etc.).
- 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 and the sponsor application (i.e. ASSIST).
- 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 total costs listed on SF424 page 2 match the total costs listed in the Cumulative Budget.

**PROPOSAL REVIEW AND SUBMISSION**

- Address any submission errors and warnings resulting from electronic systems.
- 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.
- Help 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.
- Submit proposals directly to the sponsor whenever applicable (e.g., to the Pass Thru Entity).
- Submit proposals through sponsor required electronic systems.
- Verify successful submissions through to the funding agency.
- Follow-up with the investigator and DA when any submission errors occur.

**Just in Time (JIT)**

- Initiate necessary approvals (IRB or IACUC).
- Provide requested information to DA for review.
- Responsible for the accuracy and completeness of the information provided.
- Review provided materials obtained by PI and enters them in the sponsor specific portal (if applicable).
- Notify SP Pre RA when ready for final review and submission in order to meet sponsor deadline.
- Review and Authorize submission.
## Boston University Roles & Responsibilities

### November 2022

### General Roles & Responsibilities

#### Sponsored Research Project Lifecycle: Roles & Responsibilities

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<td><strong>Pre-Award Communication</strong></td>
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<td></td>
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</tr>
<tr>
<td>- As needed, notify department chair/dean/provost about upcoming proposal and any special considerations (cost sharing, facilities &amp; Administrative cost waiver, etc.)</td>
<td>- Communicate with Principal Investigator during preparation to complete the administrative portions of the application and to answer any questions about administrative items</td>
<td>- Communicate required changes/questions to Principal Investigator</td>
<td>- Confirmation of DHHS award set-up in Business Warehouse against PMS, as requested. It must be noted that PMS includes funds that are restricted and does not indicate if there are restriction. PMS does not include BU facing information such as unobligated balances. Other funders do not have the same level of detail for review. Research Finance Operations reviews accuracy of document numbers to ensure billing is to the correct segment of an award</td>
<td></td>
</tr>
<tr>
<td>- Communicate with co-investigators and encourage them to notify their department chairs (particularly if special considerations are involved)</td>
<td>- Contact subcontractors for administrative documents</td>
<td>- Communicate the status of application review, approval, and submission process at defined process milestones</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td></td>
</tr>
<tr>
<td>- Communicate with subcontractors to determine scope of work and budget</td>
<td>- Communicate with Sponsored Programs during the review process to address any administrative concerns</td>
<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
<td></td>
</tr>
<tr>
<td>- Communicate with Department/School Administrator during preparation process</td>
<td>- Inform SP Pre RA of unfunded proposal notices</td>
<td>- Establishes account in the system of record and sends Award Notification (AN) to PI, DA, and related parties</td>
<td>- Facilitate execution of final award</td>
<td></td>
</tr>
<tr>
<td>- As needed, notify department chair/dean/provost about upcoming proposal and any special considerations (cost sharing, facilities &amp; Administrative cost waiver, etc.)</td>
<td>- Provide revised documents (i.e., budget, updated subaward documents, etc.) if required</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td>- Facilitate execution of final award</td>
<td></td>
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<tr>
<td>- Communicate with co-investigators and encourage them to notify their department chairs (particularly if special considerations are involved)</td>
<td>- Fill out Attachment 3B for FDP agreements</td>
<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
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<td>- Communicate with subcontractors to determine scope of work and budget</td>
<td>- Respond promptly to SP during award negotiations</td>
<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
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<td>- Communicate with Department/School Administrator during preparation process</td>
<td>- Coordinate with other offices to ensure compliance with terms and conditions.</td>
<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
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<td>- Communicate with co-investigators and encourage them to notify their department chairs (particularly if special considerations are involved)</td>
<td>- Make sure all approvals are in place (IRB, IACUC, etc.) before research activities take place.</td>
<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
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<td>- Provide any updated documents</td>
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<td>- Review against original proposal submission.</td>
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<td>- Review against original proposal submission.</td>
<td>- May negotiate terms and conditions and/or escalate to other central offices (such as OGC, OTD, Compliance, Global Programs, Risk Management, RFO) when needed</td>
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</table>

### Award Review and Acceptance

<table>
<thead>
<tr>
<th>Award Review and Acceptance</th>
<th>Award Notification and Set Up</th>
<th>Outgoing Subawards</th>
</tr>
</thead>
<tbody>
<tr>
<td>- PI will provide concurrence of the final award terms and conditions whenever applicable</td>
<td>- Review budget and award set up fields (Cost Center, Sponsor Award Number, etc.) in Business Warehouse to ensure accuracy and notify SP Pre RA with any issues.</td>
<td>- Confirms and approves issuance of outgoing subaward</td>
</tr>
<tr>
<td>- Provide any updated documents</td>
<td>- Answers administrative questions as needed</td>
<td>- Facilitates communication with PI and answers administrative questions as needed</td>
</tr>
<tr>
<td>- Make sure all approvals are in place (IRB, IACUC, etc.) before research activities take place.</td>
<td>- Establishes account in the system of record and sends Award Notification (AN) to PI, DA, and related parties</td>
<td>- Conducts risk assessment for subrecipients.</td>
</tr>
<tr>
<td>- Respond promptly to SP during award negotiations</td>
<td>- Review budget and award set up fields (Cost Center, Sponsor Award Number, etc.) in Business Warehouse to ensure accuracy and notify SP Pre RA with any issues.</td>
<td>- Drafts outgoing subaward agreement incorporating required flow down of terms and conditions.</td>
</tr>
<tr>
<td>- Coordinate with other offices to ensure compliance with terms and conditions.</td>
<td>- Answers administrative questions as needed</td>
<td>- Obtains PI authorization and institutional approval.</td>
</tr>
<tr>
<td>- Confirm the initial documents are received in Sponsored Programs</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td>- Issues subawards to subrecipients for signature</td>
</tr>
<tr>
<td>- Communicate with Sponsored Programs during the review process to address any administrative concerns</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td>- Documents and distributes fully executed subaward to PI, DA, and related parties</td>
</tr>
<tr>
<td>- Confirm the status of application review, approval, and submission process at defined process milestones</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td>- Issues subawards to subrecipients for signature</td>
</tr>
<tr>
<td>- Forward any confirmation or other submission emails from the sponsor</td>
<td>- Review terms and conditions to ensure compliance with BU policies and processes obtain PI concurrence when applicable</td>
<td>- Documents and distributes fully executed subaward to PI, DA, and related parties</td>
</tr>
</tbody>
</table>
# Sponsored Research Project Lifecycle: Roles & Responsibilities

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<tbody>
<tr>
<td><strong>MANAGE AN AWARD</strong></td>
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</tr>
<tr>
<td><strong>Post Award Communication</strong></td>
<td>- Participate in regular, documented meetings with Department Administrator to review Business Warehouse reports, expenditures, financial reports, and closeouts</td>
<td>- Participate in regular, documented meetings with Principal Investigators to review Business Warehouse reports, expenditures, financial reports, and closeouts</td>
<td>- As requested, interaction with Department Administrators to review Business Warehouse reports, expenditures, financial reports, and closeouts (including but not limited to over expenditures). It is not unusual that the SP Post RA will reach out to a DA after reviewing any transaction posted as part of an after the fact review</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Follow-up with SP Post RA if there are questions about Business Warehouse reports, expenditures, financial reports, and closeouts (including but not limited to over expenditures)</td>
<td></td>
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</tr>
<tr>
<td><strong>Expenditure Review</strong></td>
<td>- Monitor spending to ensure compliance with Notice of Award and sponsor terms and conditions.</td>
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<td>- High level review of items to ensure compliance</td>
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<tr>
<td></td>
<td>- Ensure compliance with BU applicable policies including Sourcing, HR, and Accounts Payable. Use After the Fact guidelines as a tool to assist in review.</td>
<td>- Ensure compliance with BU applicable policies including Sourcing, HR, and Accounts Payable. Use After the Fact guidelines as a tool to assist in review.</td>
<td>- Risk review of Concur travel</td>
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<tr>
<td></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>Review all Personnel Activity Reports (PARs) as required Send Personnel Activity Reports to appropriate individuals for certification Ensure all Personnel Activity Reports are submitted to Sponsored Programs Effort prior to due date Ensure effort percentages sum to 100%</td>
<td>- Review of all temporary hires on grants to ensure allowability</td>
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<tr>
<td></td>
<td>- For investigators with salary in excess of the Department of Health and Human Services salary cap (or any other cap dictated by the Sponsor), ensure cost share is listed as appropriate. For faculty certifying 100% effort on research, ensure the explanation is included.</td>
<td>- Ensure all Personnel Activity Reports sum up to 100%. Ensure certified effort is in proper alignment with salary from sponsored funds Ensure an appropriate explanation is included for faculty certifying 100% effort on research Ensure Personnel Activity Reports for investigators with salary in excess of the Department of Health and Human Services salary cap (or any other cap as dictated by the Sponsor) list cost share appropriately. * These activities are shared between Effort and the SP Post RA</td>
<td>- For more information refer to the After the Fact Review section</td>
<td></td>
</tr>
<tr>
<td><strong>Salary Management</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>
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<td><strong>Personnel Activity Reports</strong></td>
<td>- For investigators with salary in excess of the Department of Health and Human Services salary cap (or any other cap dictated by the Sponsor), ensure cost share is listed as appropriate. For faculty certifying 100% effort on research, ensure the explanation is included.</td>
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General Roles & Responsibilities
**Sponsored Research Project Lifecycle: Roles & Responsibilities**

### Subaward Invoices & Subrecipient Monitoring
- Ensure subaward invoice amount is appropriate in relation with technical work timeline (i.e., subrecipient is not invoicing for 80% of the budget when only 20% of the work is complete)
- Ensure technical reports received and reviewed as required
- Review and sign all subaward invoices to approve for payment
- If you believe invoices are incorrect, or not commensurate with work performed, do not approve, and reach out to the SP Post RA.

- Assist in coordination of subaward invoice review, approval and signature and submission of AP Subaward Disbursement Form
- If you believe invoices are incorrect, or not commensurate with work performed, do not approve, and reach out to the SP Post RA.
- Distribute subaward invoices to Principal Investigators for approval
- SP Post RA’s review signed invoices for appropriateness (against budget amounts and performance periods)
- SP Post RA’s approve invoices to move to Accounts Payable for payment.
- SP Post RA’s work with subrecipients and the compliance team when desk reviews/audits are requested.

### Equipment
- Ensure original purchase of equipment meets sponsor rules regarding equipment purchases, including prior approvals when required
  * Work with Property Management to receive approval for Fabricated Equipment internal orders
  * Ensure all equipment is in good working order before award closes.
- 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.
- If you are transferring to Boston University inform Property management of the equipment that you brought with you so BU can account for it properly. This ensures that the property is covered under our insurance.
- Insure old, outdated equipment is disposed of accordingly based on Property Management guidelines.
- * Medical School Faculty purchasing equipment not in an approved budget must obtain approval of the Dean to rebudget
- Order equipment using the appropriate General Ledger Expenditure Type based on equipment cost dollar threshold (i.e., use 571400 for items greater than $5K)
- Work with Property Management to receive approval for Fabricated Equipment internal orders and ensure all fabrication charges are made to that order
- Ensure old, outdated equipment is disposed of accordingly based on Property Management guidelines
- Notify both Sponsored Programs Pre RA and Research Finance Operations Property Management when a Principal Investigator is leaving the institution
- Notify property management if a PI transfers to BU and brings moveable capital equipment with them.
- Approve Moveable Capital Equipment purchase orders accordingly and timely
- Complete Property Reports
- Approve Moveable Capital Equipment purchase orders accordingly and timely
- Research Finance Operations tags equipment
- Research Finance Operations completes rolling Equipment Inventory
- Research Finance Operations establishes assets for all Equipment including Fabrications

### After the Fact Review (AFR)
- Ensure there is an After the Fact review on a regular basis to ensure all expenditures that are charged to the award are appropriate
- After the Fact Review Website
- Responsible for completion of the AFR on a regular basis to ensure all expenditures that are charged to the award are appropriate
- After the Fact Review Website
# Sponsored Research Project Lifecycle: Roles & Responsibilities

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<th>Research Financial Operations</th>
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<tbody>
<tr>
<td>accounts and expenditure reconciliation</td>
<td>- Communicate with Department/School Administrator on any questions that may arise from account review that includes a review of period of performance. - All goods and services must be received prior to the end date in order to be considered within the period of performance. Consumable goods with an aggregate value at $5,000 or more at the end of an award require further documentation to the sponsor.</td>
<td>- Communicate with Department/School Administrator on any questions that may arise from account review that includes a review of period of performance. - All goods and services must be received prior to the end date in order to be considered within the period of performance. Consumable goods with an aggregate value at $5,000 or more at the end of an award require further documentation to the sponsor.</td>
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</tr>
<tr>
<td>Carry Forward</td>
<td>- When Carry Forward is automatic there is no action required - When Carry Forward is not automatic create carry forward request of prior year(s) unspent balance. Carry forward requests cannot exceed the unspent amount as reported on a financial report and are limited to only the amount that can be scientifically justified</td>
<td>- When Carry Forward is not automatic submit carry forward requests to the sponsor.</td>
<td>- When Carry Forward is automatic Post Award will add the amount to the new year at the time the FFR is approved. The addition is to other directs and F&amp;A.</td>
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</tr>
<tr>
<td>Cost Transfers</td>
<td>- Upon review of expenditures, communicate in writing any changes that need to be - Review and approve greater than 90-day cost transfers as required by BU and federal policy Insert link to cost transfer policy</td>
<td>- 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 - Insert link to cost transfer policy</td>
<td>- Process cost transfers as required in a timely manner - Review completed forms for accuracy, completeness and allowability</td>
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</tr>
<tr>
<td>Available Balance</td>
<td>- Responsible for informing DAs of planned expenditures to complete the project</td>
<td>- Responsible for initiating those transactions in the financial system and ensuring they were processed accurately, please see AFR. - Responsible for reviewing and confirming that non-subaward commitments are accurate and must work with appropriate offices to close commitments that are not accurate.</td>
<td>Sponsored Programs Post RA can provide BW reports that show available balance, it is the DA who can assist the PI on the status of non-subaward commitments. SP Post RA has no access to non-subaward open commitments</td>
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</tr>
</tbody>
</table>

**General Roles & Responsibilities**

- Sponsored Research Project Lifecycle: Roles & Responsibilities
- November 2022

*Table notes:*
- When Carry Forward is automatic there is no action required.
- When Carry Forward is not automatic create carry forward request of prior year(s) unspent balance. Carry forward requests cannot exceed the unspent amount as reported on a financial report and are limited to only the amount that can be scientifically justified.
- 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.
- Insert link to cost transfer policy.
## Sponsored Research Project Lifecycle: Roles & Responsibilities

### Principal Investigator (PI)

- Work with RFO when necessary as it relates to Outstanding AR
- Work with RFO to ensure billing of non-cost reimbursement awards, that receive cash based on milestones, that milestones have been met and invoices need to be submitted to sponsor for milestone related awards

### Department/School Administrator

- Work with RFO when necessary as it relates to Outstanding AR
- Work with RFO to ensure billing of non-cost reimbursement awards, that receive cash based on milestones, that milestones have been met and invoices need to be submitted to sponsor for milestone related awards
- Work with SP Post RA on confirmation of final balances for final invoices to sponsors for cost reimbursement awards

### Sponsored Programs Pre-Award

- Prepare progress reports as required by award document; at a minimum this includes at least a final progress/technical report.
- Disclose inventions to the Technology Development office.
- Confirm inventions to Sponsored Programs for final Invention/Patent Reports to sponsor.

### Sponsored Programs Post-Award

- Submit annual progress reports to the Pass-Thru Entity, as applicable.
- Confirm with the Technology Development office whether there are inventions resulting from an award
- Submit final Invention/Patent Reports to sponsor on behalf of the Principal Investigator and Technology Development (any others?)

### Research Financial Operations

- 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 Receivable Payments.

### Cash Management

- Close out an award
- No Cost Extension
- Financial Reports
- Cash Management

### Non-Financial Reports

- Submit final Invention/Patent Reports to sponsor.
- Confirm with the Technology Development office whether there are inventions resulting from an award
- Submit final Invention/Patent Reports to sponsor on behalf of the Principal Investigator and Technology Development (any others?)

### Non-Financial Reports

- Disclose inventions to the Technology Development office.
- Confirm inventions to Sponsored Programs for final Invention/Patent Reports to sponsor.

### No Cost Extension (NCE)

- Notify DA and SP Pre-RA of intention to request NCE at least 90 days prior to the project end date
- Ensure account balance is not zero or negative.
- Sign the IPAR form

### CLOSE OUT AN AWARD

- Notify SP Pre-RA of PI's intention to request NCE at least 90 days prior to project end date
- Check account balance.
- Fill out the IPAR form
- Inform whether subs also need NCE, as applicable
- Double check account balance with SP Post RA

### Financial Reports

- For awards that require annual reporting PI is responsible for reviewing accounts 60 days prior to that ending period
- For awards that are ending, or the current competitive segment is ending, PI is responsible for reviewing accounts 60 days prior to the project end date.
- SP Post Award Ending Notification services as a reminder that a close out review should already be under way. DI works 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 Pre-RA and Department/School Administrator to obtain appropriate documentation for the request
- Submit financial reports when sponsor requires submission from PI (typically these are limited to some foundations)

- 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
- Assist SP Post RA with the completion of Small Business Subcontracting Plan Reports that were in the proposal/award, completed and approved by Sourcing.

- For awards with carryforward that require sponsor approval please see the carryforward section

- Work with the DA to confirm final balances to create final invoice templates that are processed by Research Finance Operations for submission to sponsors for all cost reimbursement awards

- Processes NCE through Award setup once approved by Sponsor.

- For awards that are ending, or the current competitive segment is ending, PI is responsible for reviewing accounts 60 days prior to the project end date
- Check account balance.
- Fill out the IPAR form
- Inform whether subs also need NCE, as applicable
- Double check account balance with SP Post RA
- Reviews request and submits to sponsor.
- Processes NCE through Award setup once approved by Sponsor.

- Prepare financial reporting as requested by sponsor to confirm available balance

- Work with Department Administrator to obtain final confirmation of unspent balance prior to submission of financial reports
- Reduce budgets by confirmed unspent amount as reported on the financial report/final invoice
- Reduce commitments for subawards with unspent balances
- For awards with carryforward that is either automatic or requires sponsor approval see carryforward section
- Submit financial reports unless a sponsor requires PI submission. Financial reports can include Property Reports and Small Business Subcontracting Reports

- Complete and submit Property Reports

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**General Roles & Responsibilities**

**November 2022**
Glossary of Acronyms:

AFR – After the Fact Review
BW – Business Warehouse
COI – Conflict of Interest
DA – Department/School Administrator
DHHS – Department of Health & Human Services
F&A – Facilities and Administrative
IACUC – Institutional Animal Care and Use Committee
IDC – Indirect Costs
IRB – Institutional Review Board
NCE – No Cost Extension
NIH – National Institutes of Health
NSF – National Science Foundation
OGC – Office of the General Counsel
OPD – Office of Proposal Development
OTD – Technology Development office
PI – Principal Investigator
RA – Research Administrator
RFO – Research Finance Operations
SP – Sponsored Programs