Appendix A: Roles and Responsibilities – Details

Principal Investigator

1. Proposal Preparation
   1.1 Has an overall responsibility to assemble a submission ready proposal meaning a complete, accurate proposal that meets all sponsor programmatic and administrative guidelines, and UVM requirements.
   1.2 Coordinates and delegates, certain components of the proposal preparation to a team including designated department or college support staff.
   1.3 Responsible to coordinate, communicate and escalate proposal development questions, concerns, issues well in advance of the deadline to allow responses be obtained from appropriate University offices.

2. Scope of Work
   2.1 Responsible for the development of the proposal’s statement of work that can be accomplished within the amount funding being requested and such work can be executed under the direction of Principal Investigator.

3. Prepare Budget
   3.1 Coordinate and develop a realistic budget and budget narrative, following sponsor limitations and University policies and procedures. Coordinate as needed with the Department or College administration.
   3.2 Subject to sponsor limitations, ensure all appropriate Institutional approved indirect cost rates, fringe rates, and institutional base salaries are used when creating budgets.
   3.3 Identify necessary key and non-key personnel, including post docs, grad students, technicians, and consultants, to carry out the statement of work. Provide a reasonable estimate of the effort that each will devote to the project and budget for these commitments.
   3.4 Responsible for following UVM Cost Sharing policy. Coordinate with appropriate offices to discuss and secure cost sharing approvals.

4. Disclose Compliance
   4.1 Responsible for disclosing compliance requirements required at the time of proposal routing. For example, working with human subjects, animals, involves a need for biosafety, properly disclose any financial conflicts of interest.

5. Proposal Approvals
   5.1 Initiates the electronic approval process by submitting a complete and ready to submit proposal into UVM’s electronic research administration system, currently InfoEd with sufficient lead time to allow for review and approvals be obtained from the Chair, Dean, and SPA.

6. Internal Deadlines
   6.1 It is highly recommended that all proposals be received in SPA no later than 2-business days prior to the sponsor published deadline for review, approval, and submission to sponsor.
6.2 Proposals submitted to SPA with less than 2-business days prior to sponsor’s deadline are considered “Late Proposals” and SPA will follow Late Proposal procedures.

7. Communication

7.1 Provide a copy of the proposal guidelines to the proposal team, department administrator, and SPA, well in advance of the deadline to allow for an appropriate review.

7.2 Be responsive to any sponsor requests for additional information (Just-In-Time, post-submission updates, revised budgets, the revised scope of work, etc.). Coordinate appropriate response with Unit administrators and SPA RA.

Department Administration

1. Proposal Preparation Review, Submission Process

1.1 In coordination with the College, assign department staff to assist Principal Investigators with preparing a submission ready proposal meaning a complete, accurate proposal that meets all sponsor programmatic and administrative guidelines, and UVM requirements. This includes completing all required proposal forms.

1.2 Coordinate with PI to communicate and escalate proposal development questions, concerns, and issues well in advance of proposal deadline to allow time for appropriate University offices to respond.

2. Prepare Budget

2.1 Coordinate with the PI to develop a realistic budget and budget narrative, following any sponsor imposed limitations and subject to University policy and procedures. Complete sponsor budget forms and follow required sponsor format.

2.2 Ensure the budget reflects an accurate listing of all personnel and effort commitments required to accomplish the proposal work, and includes appropriate salaries and fringes benefits for all personnel.

2.3 Use Institutional Base Salary, subject to sponsor limitations, for all named UVM and UVM/UVMMC joint appointed employees when budgeting for salaries.

2.4 Work with proposed subrecipients by collecting subrecipient’s officially approved proposal and commitment forms. Budget the subrecipients costs correctly in the UVM budget.

2.5 Confirm any cost sharing meets UVM’s Cost Share Policy and approvals have been received.

3. Deliver Submission Ready Proposal

3.1 Review and ensure proposal meets sponsor guidelines for items such as page limits, cost limits, forms, and formatting.

3.2 Ensure collection and correct assembly of all required proposal documents.

3.3 Ensure administrative sections are complete and all required components are included in the proposal prepared for routing in UVM’s eRA system.

3.4 In coordination with the PI, finalize the proposal in the UVMs eRA system and submit into the electronic workflow to receive College and SPA reviews and approval.

4. Proposal Review and Approval

4.1 Clearly communicate expectations in meeting the department administration responsibilities for proposal review and approval.
4.2 Review and approve proposals submitted into electronic workflow using the UVM’s eRA system currently InfoEd, which will be transitioned to UVMConnect, for consistency with department policies and procedures as well as various University requirements.

4.3 Department reviews typically include an assessment and approval of the following:

- Accuracy of budget elements including: Institutional Base Salaries; costs are allowable, reasonable, and allocable to the project; and correct F&A rate type is applied.
- Any proposed cost sharing is accurate and documented.
- Facilities are available.
- Qualifications and availability of personnel participating in the project.
- If applicable, review and approve PI eligibility, following PI Eligibility Policy.

College Administration

1. Proposal Preparation Review, Submission Process

   1.1 Provide direction, resources, and oversight to ensure that the college and department administrators provide PIs support towards preparing, reviewing, routing and approving proposals for submission.

2. Proposal Review and Approval

   2.1 Clearly communicate expectations in meeting the college administration responsibilities for proposal routing and approval.

   2.2 Review and approve proposals using UVM’s eRA system for consistency with college policies and procedures as well as various University requirements.

   2.3 College reviews typically include an assessment and approval of the following:

   - Accuracy of budget elements including: Institutional Base Salaries; costs are allowable, reasonable, and allocable to the project; and correct F&A rate type is applied.
   - Any proposed cost sharing is accurate and documented.
   - Facilities are available.
   - Qualifications and availability of personnel participating in the project.
   - If applicable, review and approve PI eligibility, following PI Eligibility Policy.
   - Approve any deviations from the standard F&A distribution formula from UVM’s IBB policy.

Sponsored Project Administration

1. Proposal Preparation

   1.1 Upon request, provide PIs and Unit Administrators Institutional guidance, interpretation and implementation of sponsor and university guidelines as they relate to the proposal preparation and submissions.

   1.2 Provide assistance with elements of the proposal and budget preparation as requested and coordinate with the PI and Unit Administrators.

2. Proposal Review for on-time submissions (2-days in advance of sponsored published deadline)
2.1. Review proposal solicitations provided in advance for contractual exceptions, representations, and certifications, and other common institutional requirements.

2.2. Prior to submitting a proposal to sponsor, the RA make every effort to confirm the following:

- Proposal contains complete and correct administrative data.
- Proposal includes all required components.
- PI has followed sponsor formats and completed all forms.
- Proposal meets cost sharing requirements. Approvals on file.
- Proposal includes correct F&A rates.
- Budget follows University and sponsor’s regulations regarding allowable costs.
- Proposal includes proper disclosure of compliance factors (animal research, human subjects).
- Proposal includes required representations, certifications, and other forms, modified as necessary.
- Confirm all subrecipient information is on file.
- Review non-negotiable terms and obtain necessary institutional approvals to accept prior to submission.
- All proposal approvals present and correct.
- Exception letters generated to negotiate terms at the time of proposal.

3. Proposal Submission

3.1 Perform duties as the University Authorized Official; approves and signs all proposal and proposal related documents, provides an institutional endorsement for all proposals to external sponsors.

3.2 If the proposal is electronically submitted, facilitates the submission process using such electronic system.

3.3 Assist PI and Unit administrator with responses to Sponsor inquiries during the review process (JIT, revised budgets, the revised scope of work, etc.). Coordinates submission of these responses to Sponsor.

4. Institutional Policies and Training

4.1 Develop institutional policies, procedures, and systems to ensure efficient and effective proposal preparation and submission practices.

4.2 Develop and maintain trainings in the area of proposal preparation and submission to assist in the development of department administration grants management.

4.3 Provide and maintain sponsored projects electronic research administration systems for managing proposal routing and collecting institutional proposal data. Provide policies, procedures, and training for use of these systems.

4.4 Register the University in the sponsor electronic research administration systems and provide guidance to campus on account requirements for those systems.

4.5 Ensures all proposal related documents are attached to the University electronic research administration system of record. Pertinent documents include:
5. Late Proposals

5.1 Proposals are considered late if they arrive in SPA with less than two business days before the sponsor’s deadline. SPA’s responsibility with regard to late proposals is to make every attempt to meet the submission deadline. This may mean SPA cannot provide the customary review of the proposal and may not be able to resolve technical issues that can prohibit submission of the proposal to the sponsor.

5.2 Proposals submitted without review will be reviewed post-submission. If considered non-compliant with University standards, SPA may take the following actions:

- Administratively withdraw the proposal.
- Submit a revision if allowed.
- Wait until the time of award to correct any issues.

5.3 If non-compliance cannot be corrected or resolved, this may preclude UVM from accepting the award.