

**ROLES AND RESPONSIBILITIES IN
 DEVELOPING AND MANAGING
 EXTRAMURAL AWARDS**
 CREATED 28 FEBRUARY 2017

Submitting proposals, executing awards, conducting research, and administrating sponsored projects involves many different people and units throughout the University of Wisconsin-Milwaukee. While there may be some minor variations in processes among departments and colleges, the matrix below outlines the general process and identifies the appropriate party that has primary responsibility for different activities throughout the life cycle of a sponsored award.

The chart below identifies the primary function within the Office of Sponsored Programs (OSP) responsible for each task. The coding is as follows:

- | | |
|--|-----------------------------------|
| C Compliance | K Contracting |
| S Post-Award Administration | P Pre-Award Administration |
| D Proposal Development Services | |

Task	PI ¹	Division/ Dept. ²	OSP	OR
Finding Funding				
Search for and identify funding opportunities.	X			
Distribute funding opportunity announcements via Research Listservs.			D	
Help interpret funding opportunity announcements.			D	
Manage internal competitions for limited-submission grant opportunities.				X
Confirm institutional eligibility for sponsors/programs.			D	
Questions related to finding funding? Please contact Michelle Schoenecker (414-229-2747, schoene7@uwm.edu) in Proposal Development Services.				
Narrative Proposal Development				
Advice on the best approach to proposal development.			D	
Help interpret program announcement for draft development.			D	
Develop a timeline for proposal development and submission.	X		D	
Develop and draft the proposal narrative and budget justification.	X			
Edit proposal drafts and provide substantive feedback.	X		D	
Review proposal drafts for adherence to formatting and other sponsor requirements.	X		D	
Proofread final proposal draft.	X		D	
Questions related to developing the narrative for a particular sponsor or program? Please contact Michelle Schoenecker (414-229-2747, schoene7@uwm.edu) in Proposal Development Services.				

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Task	PI ¹	Division/ Dept. ²	OSP	OR
Proposal Review and Submission				
Identify subrecipients and request institutional letters of commitment, scopes of work, and budgets/budget justifications.	X			
Develop the project budget and budget justification.	X			
Identify cost-share funds and provide official approval via WISPER.	X	X		X
Develop the full proposal application package, including forms required for submission.	X			
Review proposals that involve space and/or new degree programs.		X		
Complete all necessary compliance requirements for proposal submission (e.g., Effort Reporting, Outside Activities Report [OAR], and/or Financial Conflict of Interest [FCOI].)	X	X		
Ensure all project personnel have satisfied all compliance requirements as applicable (e.g., Effort Reporting, OAR, and/or FCOI).			P / K	
Help interpret proposal instructions or sponsor requirements.			P / K	
Confirm the proposal meets all sponsor requirements for formatting, page length, font, etc. and that all necessary commitments with subrecipient institutions have been secured.	X			
Discuss and finalize F&A split arrangements with all UWM divisions for proposals that involve multiple UWM investigators.	X	X		
Initiate, route, approve, and submit WISPER record to OSP.	X	X		
Verify the proposal complies with all sponsor policies and program requirements.			P / K	
Confirm the WISPER record is complete and approved by all UWM departments and divisions involved in the project.			P / K	
Approve the proposal for submission on behalf of the University (either electronically or via paper signatures).			P / K	
Update WISPER to reflect final proposal submission.			P / K	
Maintain institutional accounts with sponsor electronic proposal submission systems (e.g., Grants.gov, FastLane, eBRAP).			P	
Troubleshoot issues with sponsor or internal electronic systems as it relates to proposal submissions.			P / K	
Oversee institutional policies and procedures governing the submission of proposals to sponsors.			P / K / C	X
Questions about the review and submission of a proposal to a specific program or sponsor? Please contact the Pre-Award Specialist assigned to your department, division, and type of award (grant, cooperative agreement, etc.): http://uwm.edu/officeofresearch/contact/#pre-award				
Award Negotiation				
Develop responses to sponsor requests for additional information (e.g., revised budgets/budget justifications, additional narrative clarifications, Just-in-Time information). Submit additional information to the sponsor for those requests that do not require institutional endorsement or certification.	X			
Submit responses for additional requests for information to sponsors that require institutional certification or endorsement.			P / K	

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Provide all necessary compliance information—IACUC approvals, IRB approvals, etc.	X			
Confirm all PIs, Co-PIs, Co-Is, and NoGA personnel are current on all relevant compliance requirements (e.g., effort reporting, COI, OAR).		X	P / K	
Review and confirm all necessary approvals and documentation are complete in WISPER.			P / K	
Review award documentation for compliance with federal regulations and UWM/UW System policy, including award terms and conditions, budget, indirect costs, etc.			P / K	
Negotiate changes to the award terms and conditions.			P / K	
Accept and execute award on behalf of the University.			P / K	
Oversee institutional policies and procedures governing the acceptance of awards on behalf of the University.			P / K / C	X
Questions about the review and submission of a proposal to a specific program or sponsor? Please contact the Pre-Award Specialist assigned to your department, division, and type of award (grant, cooperative agreement, etc.): http://uwm.edu/officeofresearch/contact/#pre-award				
Project Setup & Establish Account				
Confirm all PI, division, regulatory, and compliance-related approvals have been received in WISPER.			P / K	
Enter all appropriate project data into SFS, including effort commitments, cost-share commitments, F&A splits (if applicable), etc.			P / K	
Establish a project account in SFS for charging expenses.			P / K	
Questions about the review and submission of a proposal to a specific program or sponsor? Please contact the Pre-Award Specialist assigned to your department, division, and type of award (grant, cooperative agreement, etc.): http://uwm.edu/officeofresearch/contact/#pre-award				
Award Management				
Prepare financial transactions against the project account.	X	X		
Work with the UWM Purchasing Department to purchase items that must comply with relevant state and federal procurement policies.	X	X		
Initiate requests with OSP that require prior approval from sponsors, such as no-cost extensions and rebudgeting required by the terms and conditions of the award.	X	X		
Obtain prior approval from sponsors for transactions that require prior approval (e.g., adding/removing senior/key personnel, adding/removing subrecipients, etc.).			P / K	
Notify OSP of the need for a no-cost extension.	X	X		
Review and approve grantee-approved no-cost extension requests.			S	
Review and submit no-cost extension requests to sponsors.			S	
Review and reconcile sponsored project accounts monthly using the official system of record (WISER) and notify OSP of any issues.	X	X		
Review sponsored project account reconciliation.			S	
Monitor project accounts to verify costs are allowable, reasonable, and necessary for conducting the project.	X	X		

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Ensure all UWM regulatory offices/committees (e.g., OSP, IRB, IACUC, Risk Management & Safety) are notified of significant changes in the project (budgetary, programmatic, and key personnel).	X	X		
Prepare technical reports for submission to the sponsor.	X			
Use financial reports to audit project expenses.	X	X		
Receive and deposit payments from sponsors.			S	
Monitor compliance with federal, state, sponsor, UW System, and UWM regulations and policies, including effort reporting, FCOI, COI, OAR, export, etc.	X	X	S	
Troubleshoot issues with sponsor or internal electronic systems as it relates to award management.			S	
Oversee institutional policies and procedures governing the management of awards at the University.			S / K / C	X
Questions about managing an award? Please contact the Post-Award Specialist assigned to your department or division: http://uwm.edu/officeofresearch/contact/#post-award .				
Personnel and Effort Certification				
Initiate the hiring process for personnel paid from grant.	X	X		
Maintain the effort certification database and reporting system.			C	
Complete necessary adjustments to award charges and/or payroll distribution.		X		
Obtain necessary supervisory reviews and approvals.		X		
Ensure accuracy of completed effort certification reports.	X	X		
Resolve problems or follow up on certifications not submitted.		X	C	
Questions about the effort certification process? Please contact Matt Richter, Compliance Manager (414-229-2487, richterm@uwm.edu).				
Invoice Sponsor				
Prepare and submit invoices and/or financial reports to sponsors.			S	
Receive and deposit payments from sponsors.			S	
Produce and record a letter of credit draw request (federal awards).			S	
Monitor and pursue collections of overdue payments from sponsors.			S	
Questions about invoicing sponsors? Please contact the Post-Award Specialist assigned to your department or division: http://uwm.edu/officeofresearch/contact/#post-award .				
Subawards				
At the time of award, complete the Outgoing Subaward Request Form and forward the completed Subrecipient Questionnaire.	X			
Review subrecipient questionnaire in compliance with UWM procedures.			K	
Draft official subaward.			K	
Execute the subaward on behalf of UWM.			K	
Prepare encumbrance request.			S	
Submit signed encumbrance request to BFS.		X		
Complete institutional reporting requirements.			S	

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Monitor subrecipient performance during the project; notify OSP immediately of any changes to the subrecipient's performance.	X			
Submit invoice to PI for review and approval.			S	
Approve subrecipient invoice for payment based on the approved scope of work, budget, and progress completed to date.	X			
Submit approved invoice to BFS for payment.			S	
Obtain technical reports from the subrecipient.	X			
Notify OSP of the need to process new amendments to a subaward by submitting a new Outgoing Subaward Request Form.	X			
Execute amendments with subrecipients on behalf of the institution.			K	
Oversee institutional policies and procedures governing the management of subawards at the University.			S / K / C	X
Questions about the subaward process? Please contact the UWM Subaward Team at or-osp-subawards@uwm.edu .				
Project End/Close-Out				
Identify project closeout timeframe and required documentation.			S	
Ensure all expenditures have been posted to the project accounts.		X		
Prepare final financial invoice/report.			S	
Resolve issues related to unreconciled accounts.	X	X	S	
Prepare the final technical report for the project.	X			
Prepare final invention report.			S / K	
Manage reporting of any patents from the project to the sponsor (including iEdison).			K	
Inactivate the project account in SFS.			S	
Maintain project records for three years following project closeout (or in accordance with the terms and conditions of the award).	X	X	S	
Questions about the award closeout process? Please contact the Post-Award Specialist assigned to your department or division: http://uwm.edu/officeofresearch/contact/#post-award .				

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