**Roles and Responsibilities**

This document provides a general description of grant management responsibilities and the roles that are tasked with those responsibilities. The intent is to provide transparency, accountability and assistance. Further, the document covers all units on campus so there is consistency across the university. The roles and responsibilities outlined below begin at the time the PI receives a grant account number (7xxxx) and has access to various tools including Business Intelligence reports in DataMarq, the General Ledger, etc.

Budget, Expenditures and Account Balance Review

**PI**

* Ensure the budgets are loaded per the intent of the proposal.
* Review expenditures at least monthly or more often as needed; review project statements as soon as they are available.
* Make decisions about how funds are spent, in accordance with the initially-submitted project budget; direct and know where funds are being spent.
* Review remaining funds on a monthly basis.
* If the budget needs to be changed, determine if transfers are allowable, complete a budget modification form, and ensure the scope of work is not changing.
* If project is overspent, decide where to make adjustments.
* If additional funds are available, determine how they could be repurposed to achieve the original scope of work proposed.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53).
* Complete and submit any necessary forms (e.g., [Grant Budget Transfer](https://www.marquette.edu/orsp/documents/budget-transfer-form-12.2019.pdf), [Grant Expenditure Transfer](https://www.marquette.edu/orsp/documents/grant-expenditure-transfer-form-12.2019.pdf), etc.).

**Advocate**

* Double check that budgets are loaded correctly.
* Review the budget each month with the PI. Review the budget in advance of the meeting and be prepared to summarize the status of spending and ask questions as necessary.
* Ensure that correct payment is being made to project personnel, that expenses that have been made are posting and that all of the expenses belong to the grant. If an expense needs to be moved, provide guidance on preparing the proper paperwork and ensure proper processing.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53).
* Identify proper forms/actions for PIs to complete and advise on associated processes.

**College Business Office**

* Ensure that budgets are loaded correctly.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53).
* Review labor distribution reports and ensure they are correct.
* Review limited term reports to determine any hiring renewals.
* Conduct a review of the budget each month, including invoices on hold, limited term people, etc.
* Provide costing – taking all money in salary budgets with an associated position code and telling system what dates to use
* Identify proper forms/actions for PIs to complete, advise on associated processes and ensure that funds are moved only with the appropriate back-up documentation.
* Helps PIs prepare necessary forms (e.g., [Grant Budget Transfer](https://www.marquette.edu/orsp/documents/budget-transfer-form-12.2019.pdf) forms, [Grant Expenditure Transfer](https://www.marquette.edu/orsp/documents/grant-expenditure-transfer-form-12.2019.pdf) forms, etc.)

**ORSP**

* Review and approve [Grant Budget Transfer](https://www.marquette.edu/orsp/documents/budget-transfer-form-12.2019.pdf) forms, Grant Expenditure Forms and other necessary forms, returning for corrections as needed.
* Review requirements for sponsor prior approvals and make requests to sponsors
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53).

**Finance**

* Establish budgets to ensure all funds legally obligated are available in a grant account.
* Move funds per approved [Grant Budget Transfer](https://www.marquette.edu/orsp/documents/budget-transfer-form-12.2019.pdf) or [Grant Expenditure Transfer](https://www.marquette.edu/orsp/documents/grant-expenditure-transfer-form-12.2019.pdf) forms submitted to the Assistant Budget Director.

Hiring

**PI**

* Make the determination as to who is being hired for the project, their job duties, and when they can start and end.
* Supervise all project personnel.
* Determine salary levels and positions in accordance with the initially-submitted project budget and Marquette policies.
* Initiate requests for hiring personnel in accordance with your department or College Business Office.
* Propose substitute personnel or reallocation of funds if there are savings or shortfalls via budget modification forms.
* Know who your hiring authority is and who in your department/college can help you

**Advocate**

* Serve as a resource for hiring all personnel and communicate processes.
* Understand the process for hiring through Student Personnel.
* Double check to ensure that [Student Grant Support](https://www.marquette.edu/orsp/documents/student-grant-support-form.pdf) forms are processed for graduate students and that offer letters are written and graduate students are hired appropriately.
* Work with the PI and the College Business Office or hiring authority to ensure that all grant funded individuals are appropriately hired and paid.
* Liaison with ORSP for hiring of any consultants, speakers, performers and participants.

**College Business Office**

* Process all salary authorizations for all Marquette personnel, ensuring that they are in accordance with all university and sponsor policies.
* Direct PIs on who to contact to hire student personnel, process [Student Grant Support](https://www.marquette.edu/orsp/documents/student-grant-support-form.pdf) forms and generate offer letters to graduate students and hire graduate students.

**ORSP**

* Approve job postings for grant supported personnel.
* Process [Student Grant Support](https://www.marquette.edu/orsp/documents/student-grant-support-form.pdf) forms.

Purchasing

**PI**

* Make decisions about the items that need to be purchased and ensure that they are allocable to the project.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53), and follow the initially-submitted project budget.
* Follow standard university processes to purchase necessary items for the grant award.
* Obtain any necessary quotes.

**Advocate**

* Troubleshoot if a purchase doesn’t arrive.
* Troubleshoot if there is a stalled purchase in the Coupa system.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53), and follow the initially-submitted project budget.

**College Business Office**

* Develop a purchase order or purchase requested items.
* Ensure that the order is received on.
* Help consultants and other external personnel get added to the Coupa system so that they can receive payment.
* Make sure all invoices are received.
* Ensure all budget items are [allocable, allowable and reasonable](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53), and follow the initially-submitted project budget.

Reporting/Closeout

**PI**

* Prepare necessary technical reports.
* Review account and make sure financial reporting can be completed.
* If the account is overdrawn, make necessary adjustments.
* Notify Grants Accounting when milestones have been met on fixed price agreements.
* The PI is responsible for reviewing and completing Effort Report Statements for project personnel. These statements are prepared by the Office of the Comptroller (Grant Accounting Office) at the end of each academic term. The PI makes corrections where needed and returns the forms to the Office of the Comptroller. Contact Grant Accounting office with any questions.

**Advocate**

* Track necessary reports that the PI needs to complete and remind PI of deadlines, including method of submission.
* Coordinate with Grants Accounting to alert them to required reports.
* Work with the PI on closing out the account or requesting a no cost extension 90 days prior to the project end date.
* Ensure that the subawardees are providing the information needed for reports in advance of the deadline. (This may include committed effort, invention statements, justification of large unspent amounts, current and pending support, financial conflict of interest reports, etc.)

**College Business Office**

* Ensure personnel have termination date and/or transferred to an alternate source of funding at the project’s end.
* Confirm that project costs and charges are final.
* Process all subawardee invoices and ensure that each invoice has been submitted and paid.
* Check to make sure that all vendor invoices have been paid and no invoices are pending.

**Grants Accounting**

* Prepare all financial reports.
* Draw down expended funds from sponsor systems.
* Invoice sponsors for costs incurred or in the case of fixed price agreements when milestones are met.
* Prepare after-the-fact Effort Report Statements, transmit them to PIs at the end of each academic term for approval or correction, and maintain documentation pertaining to effort reporting. Note: The effort report accounts for 100 percent of the activity for which the employee is compensated.

Subawardee Management

**PI**

* Make a determination of any necessary agreements that need to be made off of the award, consistent with the initially-submitted project budget. This includes defining the parties, the scope of work and the amount to be paid and communicating this information to grantcontracting@marquette.edu.
* Review and approve all invoices/payments and ensure they reach the Coupa system for processing.
* Request information from subawardees for reports.

**Advocate**

* Liaison with ORSP to ensure subawards and other agreements are created and work with the PI to provide information as needed.
* Work with PIs to ensure they are receiving regular invoices from subawardees and reach out to administrators at subawardee entities to request them as needed.
* Double check to make sure that any invoices received have been processed appropriately and charged to the account.
* Work with the PI to follow up on requests to subawardees for reporting information.

**College Business Office**

* After PI approves the invoice, process the invoice.
* Track invoices in Coupa to ensure that they are paid.

**ORSP**

* Prepare and execute all subawards and consulting/participant/speaker/performer agreements.