

## GUIDE TO ROLES AND RESPONSIBILITIES FOR EXTERNALLY SPONSORED PROJECTS

|  | Central Administration |                 |          | Academic Unit |                 |    |
|--|------------------------|-----------------|----------|---------------|-----------------|----|
|  | OSP                    | Fiscal Services | VPR      | Dean          | Dept. or Center | PI |
| <b>GENERAL ADMINISTRATION</b>  |                        |                 |          |               |                 |    |
| Provide training and outreach to the University Community in areas such as obtaining funding, managing sponsored projects and financial management | Primary                | X               | X        |               |                 |    |
| Prepare and negotiate the F&A cost proposal and negotiates final rates   |                        | X               |          |               |                 |    |
| Maintain a proposal database   | X                      |                 |          |               |                 |    |
| Maintain an award database   | Primary                | X               |          |               |                 |    |
| Identify changes to policies impacting research administration and notify the University Community   | X                      |                 | X (RDIA) |               |                 |    |
| <b>IDENTIFICATION OF FUNDING OPPORTUNITIES</b>   |                        |                 |          |               |                 |    |
| Identify database of grant information and make it available to the University community   |                        |                 | X (RDIA) |               |                 |    |
| Identify external funding opportunities  |                        |                 | X (RDIA) | X             | X               | X  |
| <b>PROPOSAL PREPARATION</b>  |                        |                 |          |               |                 |    |
| Prepare technical proposal   |                        |                 |          |               |                 | X  |
| Assure that the proposed project is appropriate in nature and scope, and consistent with departmental and institutional mission                    |                        |                 |          |               |                 | X  |
| Assure that the proposed project has qualified personnel and adequate space  |                        |                 |          |               |                 | X  |
| Draft an adequate and accurate budget to accomplish the scope of work  | X                      |                 |          |               |                 | X  |
| Review budget for compliance with Academic Unit and University Policies  | X                      |                 |          |               |                 | X  |
| Prepare sponsor specific forms, including grants.gov application packages  | X                      |                 |          |               |                 |    |
| Prepare Representations and Certifications as requested by sponsor   | X                      |                 |          |               |                 |    |
| Request and document approval for cost sharing/matching  | X                      |                 |          |               |                 | X  |
| Approve and provide documentation to OSP for cost sharing/matching   |                        |                 |          | X             | X               |    |
| <b>PROPOSAL REVIEW AND APPROVAL</b>  |                        |                 |          |               |                 |    |
| Provide oversight for sponsored project proposals, including budget review   | X                      |                 |          |               |                 |    |
| Finalize proposal budget   | X                      |                 |          |               |                 | X  |
| Prepare budget justification/budget narrative  |                        |                 |          |               |                 | X  |
| Review and approve F&A cost reductions or waivers  | X                      |                 | Primary  |               |                 |    |
| Provide justification for costs generally considered to be indirect to be charged as direct costs  |                        |                 |          |               |                 | X  |
| Review and approve requests for costs generally considered to be indirect to be charged as direct costs  | X                      |                 |          |               |                 |    |
| Prepare/Negotiate Non-Disclosure Agreements  | X                      |                 |          |               |                 |    |
| Prepare/Negotiate Teaming Agreement  | X                      |                 |          |               |                 |    |
| Negotiate Material Transfer Agreements (MTAs)  | X                      |                 |          |               |                 |    |
| Route proposal budget, budget justification and project description for approval prior to submission   | X                      |                 |          |               |                 |    |
| Approve Proposal Routing Form certifying information provided  |                        |                 |          |               |                 | X  |
| Submit Conflict of Interest disclosures  |                        |                 |          |               |                 | X  |
| Approve Proposal Routing Form indicating concurrence with all information and commitments included on form   |                        |                 |          | X             | X               |    |

|  | Central Administration |                 |              | Academic Unit |                 |    |
|--|------------------------|-----------------|--------------|---------------|-----------------|----|
|  | OSP                    | Fiscal Services | VPR          | Dean          | Dept. or Center | PI |
| <b>PROPOSAL SUBMISSION</b>   |                        |                 |              |               |                 |    |
| Provide authorized institutional signature on all proposals and awards   | X                      |                 |              |               |                 |    |
| Submit all proposals on behalf of the University as designated by University policy  | X                      |                 |              |               |                 |    |
| <b>AWARD ACCEPTANCE AND SET-UP</b>   |                        |                 |              |               |                 |    |
| Negotiate award documents to ensure award conditions are appropriate for the University  | X                      |                 |              |               |                 |    |
| Agree to all terms and conditions, with emphasis on performance clauses (includes frequency of technical reports, special professional staff hourly reports, deliverables, termination conditions, etc.) in consultation with PI | Primary                |                 |              |               |                 | X  |
| Request advanced setup of "At Risk" fund by providing an alternate funding source to guarantee expenses  |                        |                 |              |               |                 |    |
| Review and process requests for "At Risk" funds  | X                      |                 |              |               |                 |    |
| Serves as institutional signatory to execute awards and contracts  | X                      |                 |              |               |                 |    |
| Assign Grant and Fund numbers for sponsored awards   | X                      |                 |              |               |                 |    |
| <b>REGULATORY COMPLIANCE</b>   |                        |                 |              |               |                 |    |
| Prepare and submit protocols for research involving human subjects, research animals, chemical, biological, or radioactive hazards   |                        |                 |              |               |                 | X  |
| Assure that compliance requirements are met on an ongoing basis  |                        |                 |              |               |                 | X  |
| Assure and provide documentation of certifications and representations to sponsor (for approval of research animals, radioactive, and bio-safety hazards following committee approval)   | X                      |                 | X (RDIA/EHS) |               |                 |    |
| Assure compliance with federal regulations and state statutes regarding disclosure of potential conflicts of interest  | X                      |                 | X(RDIA)      |               |                 |    |
| Assure compliance with export control laws   | X                      |                 | X(RDIA)      |               |                 | X  |
| <b>MANAGING THE AWARD</b>  |                        |                 |              |               |                 |    |
| Provide oversight of sponsored project policies and administration   | Primary                |                 | X            |               |                 |    |
| Provide oversight and financial management of specific awards  |                        |                 |              |               |                 |    |
| Initiate hiring of personnel and/or complete funding change forms to charge personnel to sponsored project   |                        |                 |              |               |                 |    |
| Review and approve personnel funding change forms and process changes  | X                      |                 |              |               |                 |    |
| Initiate student financial aid stipends and tuition waivers  |                        |                 |              |               |                 |    |
| Review and approve student financial aid stipends, tuition waivers, etc.   | X                      |                 |              |               |                 |    |
| Assure appropriateness, reasonableness and allowability of expenditures  |                        |                 |              |               |                 |    |
| Manage expenditures to not exceed available award balance  |                        |                 |              |               |                 |    |
| Review and reconcile award expenditures on a monthly basis   |                        |                 |              |               |                 |    |
| Review expenditure in certain restricted budget categories and dollar thresholds (e.g. travel, food and beverage, over \$2K) on pre and post audit basis   | X                      |                 |              |               |                 |    |
| Initiate requests for rebudgeting, cost transfers and payroll reallocations  |                        |                 |              |               |                 |    |
| Review and process cost transfer journals and reallocations  | X                      |                 |              |               |                 |    |

|  | Central Administration |                 |        | Academic Unit |                 |    |
|--|------------------------|-----------------|--------|---------------|-----------------|----|
|  | OSP                    | Fiscal Services | VPR    | Dean          | Dept. or Center | PI |
| <b>MANAGING THE AWARD CONT...</b>  |                        |                 |        |               |                 |    |
| Assure timely resolution of overexpenditures and revenue shortfalls including transfer of overexpenditures to nonsponsored funds |                        |                 |        |               |                 |    |
| Meet monthly to review overspent sponsored funds and receivables outstanding for greater than 90 days                            | X                      | X               |        |               |                 |    |
| Work with PI or Department Administrator on clearing over-expenditures and revenue shortfalls                                    | X                      |                 |        |               |                 |    |
| Review and process non-monetary modifications (substantial changes should be routed for approval through the Dean's office)      | X                      |                 |        |               |                 |    |
| Prepare and review sub-agreements  | X                      |                 |        |               |                 |    |
| Monitor and oversee subrecipients as outlined in the University Subrecipient Monitoring Policy                                   |                        |                 |        |               |                 | X  |
| Prepare and review contract and sub-agreement modifications (in consultation with PI)  | X                      |                 |        |               |                 |    |
| Track cost sharing expenditures with appropriate activity codes  |                        |                 |        |               |                 |    |
| Manage Payroll Certification process including distribution and collection of reports  | X                      |                 |        |               |                 |    |
| Review payroll certification reports and certify salary charged to sponsored projects  |                        |                 |        |               |                 | X  |
| <b>SPONSOR INVOICING AND CASH MANAGEMENT</b>   |                        |                 |        |               |                 |    |
| Draw funds on letters of credit and all payment management systems   | X                      |                 |        |               |                 |    |
| Reconciles Cash Accounts   |                        | X               |        |               |                 |    |
| Prepare and submit invoices to sponsors based on expenditures posted to the Banner Financial System                              | X                      |                 |        |               |                 |    |
| Provide additional back-up documentation for Sponsor invoices as required per the terms of the agreement                         | X                      |                 |        |               |                 |    |
| Applies all sponsor payments   |                        | X               |        |               |                 |    |
| Confirms application of payments   | X                      |                 |        |               |                 |    |
| Monitor and pursue the collections of overdue payments due from sponsor  | X                      |                 |        |               |                 |    |
| <b>REPORTING</b>   |                        |                 |        |               |                 |    |
| Prepare and submit financial reports as required   | X                      |                 |        |               |                 |    |
| Provide additional backup documentation or explanation for expenditures as needed prior to financial report submission           | X                      |                 |        |               |                 |    |
| Provide technical reports and provide other deliverables as required   |                        |                 |        |               |                 | X  |
| Provide invention reports and disclosures  |                        |                 | X(OTT) |               |                 | X  |
| Provide accounting summary/verification of cost sharing to OSP   |                        |                 |        |               |                 |    |
| <b>AWARD CLOSEOUT</b>  |                        |                 |        |               |                 |    |
| Prepare and submit financial and closeout reports and documents as required  | X                      |                 |        |               |                 |    |
| Prepare and submit technical closeout reports  |                        |                 |        |               |                 | X  |
| Ensure all appropriate documentation has been submitted and is in the file   | X                      |                 |        |               |                 |    |
| Maintain financial and contract records for three years from submission of final report  | X                      |                 |        |               |                 |    |
| Maintain project records for three years from the submission of final report   |                        |                 |        |               |                 | X  |

*\*Yellow Shaded items represent Academic Unit Responsibilities (specific roles at the unit level may vary by College/School/Institute)*