GUIDE TO ROLES AND RESPONSIBILITIES FOR EXTERNALLY SPONSORED PROJECTS

	Central Administration			Academic Unit		
	OSP	**Fiscal Services**	**VPR**	**Dean**	**Dept. or Center**	**PI**
GENERAL ADMINISTRATION						
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)			
IDENTIFICATION OF FUNDING OPPORTUNITIES						
Identify database of grant information and make it available to the University community			X (RDIA)			
Identify external funding opportunities			X (RDIA)	X	X	X
PROPOSAL PREPARATION						
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	
PROPOSAL REVIEW AND APPROVAL						
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	

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PROPOSAL SUBMISSION						
Provide authorized institutional signature on all proposals and awards	X					
Submit all proposals on behalf of the University as designated by University policy	X					
AWARD ACCEPTANCE AND SET-UP						
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					
REGULATORY COMPLIANCE						
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
MANAGING THE AWARD						
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					

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MANAGING THE AWARD CONT…						
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
SPONSOR INVOICING AND CASH MANAGEMENT						
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					
REPORTING						
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						
AWARD CLOSEOUT						
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)