

GUIDE TO ROLES AND RESPONSIBILITIES FOR EXTERNALLY SPONSORED PROJECTS					
	Academic Unit/Business Center			Central Administration	
	PI	COL	BC	OSRAA	OTHER
GENERAL ADMINISTRATION					
Provide training and outreach to the University Community in areas such as obtaining funding, managing sponsored projects and financial management		X ¹	X ¹	X	
Prepare and negotiate the F&A cost proposal and negotiate final rates					FA&A
Maintain a proposal database (Cayuse)				X	
Maintain an award database (for tracking actions)				X	
Identify changes to policies impacting research administration and notify the University Community		X ¹	X ¹	X	ORI, ORD
IDENTIFICATION OF FUNDING OPPORTUNITIES					
Identify database of grant information and make it available to the University community		X ¹			ORD
Manage OSU limited submission program					ORD
Identify external funding opportunities		X ¹			ORD ²
PROPOSAL PREPARATION					
Prepare technical proposal	X ³				
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				
Concurrence that proposed project is appropriate and consistent with OSU mission and that qualified personnel and space are available		X			
Prepare adequate and accurate budget and budget narrative to accomplish the scope of work	X	X ¹	X ¹		
Prepare sponsor specific forms, including any application packages	X	X ¹	X ¹		
Prepare F&A Waiver request	X				
Request and document approval for cost sharing/matching	X				
PROPOSAL REVIEW AND APPROVAL					
Approve and provide documentation to OSRAA for cost sharing/matching	X	X ¹	X ¹		
Review and approve F&A cost reductions or waivers		X			
Provide justification for costs generally considered to be indirect to be charged as direct costs	X				
Review requests for costs generally considered to be indirect to be charged as direct costs		X ¹	X ¹		
Approve requests for costs generally considered to be indirect to be charged as direct costs				X	
Prepare/Negotiate Non-Disclosure Agreements				X	OCCD
Prepare/Negotiate Teaming Agreements				X	OCCD
Negotiate Material Transfer Agreements (MTAs)					OCCD
Approve Proposal (Cayuse) making all certifications and indicating concurrence with all commitments				X	

¹College or Business-Center specific, and not University-wide

²Certain non-profit foundations (e.g., Keck Foundation) are also coordinated with OSUF

³Some colleges provide grant-writing or editorial support for their specific units

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PROPOSAL SUBMISSION					
Provide authorized institutional signature on all proposals				X	
Submit all proposals on behalf of the University				X ⁴	
AWARD ACCEPTANCE AND SET-UP					
Negotiate award documents to ensure award conditions are appropriate for the University				X	OCCD for industry
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				X	OCCD for industry
Request advanced setup of "Pending Index" by providing an alternate funding source to guarantee expenses	X				
Review and approval of "Pending" Index requests		X	X	X	OCCD for industry
Serves as institutional signatory to execute awards and contracts				X	OCCD for industry
Assign Grant/Fund/Index numbers for sponsored awards (award setup)				X	
REGULATORY COMPLIANCE					
Prepare and submit protocols for research involving human subjects, research animals and bio-safety hazards					ORI
Assure that compliance requirements are met on an ongoing basis					ORI
Assure and provide documentation of certifications and representations to sponsor (for approval of research animals and bio-safety hazards following committee approval)					ORI
Assure compliance with federal regulations and state statutes regarding disclosure of potential conflicts of interest					ORI
Assure compliance with export control laws				X	ORI is lead
MANAGING THE AWARD					
Provide oversight of sponsored project policies and administration				X	
Provide oversight and financial management of specific awards				X	
Initiate hiring of personnel and/or complete funding change forms to charge personnel to sponsored project	X				
Review and approve personnel funding change forms and process changes			X (HR side)		
Assure appropriateness, reasonableness and allowability of expenditures	X		X	X	OCCD for industry
Manage expenditures to not exceed available award balance	X		X		
Review and reconcile award expenditures	X		X		
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 ⁵		
Identify potential requests/needs for rebudgeting, prior approval requests or payroll reallocations			X		
Initiate requests for rebudgeting, cost transfers and payroll reallocations	X				

⁴Some sponsors require the PI to submit a proposal after OSRAA approval

⁵Some Business Centers do this monthly and some do this quarterly

⁶Could also involve consultation with PI or Business Center staff, and OCCD for industry

⁷OCCD providing consultation on industry agreements as needed

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MANAGING THE AWARD CONT...					
Serve as administrative point of contact with sponsor				X	OCCD for industry
Process cost transfers and reallocations			X		
Approve cost transfers and reallocations				X	
Assure timely resolution of overexpenditures and revenue shortfalls including transfer of overexpenditures to non-sponsored funds			X	X	
Review overspent sponsored funds and receivables outstanding for greater than 90 days				X	OCCD for industry
Work with PI on clearing over-expenditures			X	X	OCCD for industry
Review and process award modifications				X	OCCD for industry
Prepare and review subagreements				X	OCCD for industry
Monitor and oversee subrecipients as outlined in the University Subrecipient Monitoring Policy				X	
Prepare and review subagreement modifications (in consultation with PI)				X	OCCD for industry
Receive subrecipients' invoices, review for allowability, comparison to subaward budget and forward to BC				X	OCCD for industry ⁷
Review and approve subaward invoices	X				
Process subaward invoices	X		X		
Track cost sharing expenditures			X	X	
Manage Effort Reporting Process including distribution and collection of reports			X	X	
Review PI and project personnel effort reports and certify effort charged to sponsored projects	X				
SPONSOR INVOICING AND CASH MANAGEMENT					
Draw funds on letters of credit and reconcile cash receivables				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		
Ensure proper application of sponsor payments				X	
Monitor and pursue the collections of overdue payments due from sponsor				X ⁶	
SPONSOR 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 ⁷				
Provide invention reports and disclosures	X ⁷				
Provide accounting summary/verification of cost sharing				X	
AWARD CLOSEOUT					
Prepare and submit financial and closeout reports and documents as required				X	
Prepare and submit technical closeout reports	X				

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AWARD CLOSEOUT CONT...					
Ensure all appropriate documentation has been submitted and is in the file				X	
Maintain financial and contract records as required by award (record retention)				X	
Maintain project records as required by award (data)	X				
Uniform Guidance and other audit/review point of contact and reporting				X	

Note: The Lead Principal Investigator has overall responsibility for the technical aspects of a sponsored project, which includes serving as the primary point of contact with the sponsor’s programmatic representative. While there are some exceptions, the Office of Sponsored Research and Award Administration (OSRAA) has overall responsibility for the administrative aspects of a sponsored project, which includes serving as the primary point of contact with the sponsor’s grant/contract officer.

Legend:

Research Office Units

- OCCD – Office for Commercialization and Corporate Development
- ORD – Office of Research Development
- ORI – Office of Research Integrity
- OSRAA – Office for Sponsored Research and Award Administration

Business Affairs Units

- FA & A – Financial Accounting & Analysis

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