



Office for Sponsored Programs ROLES AND RESPONSIBILITIES MATRIX

Task	OSP	PRE	POST	VPR (includes ORP)	Principal Investigator	Service Center/ Department
PROPOSAL PREPARATION						
Funding Opportunities		Shares announcements and helps PI's with custom searches			May make use of funding databases and other sources	Supports PI's in funding searches
Proposal Preparation		Provides guidance and assistance to the PI and their administrator			Develops proposal and budget	Assists the PI with Proposal Preparation, per established department practice.
Proposal Transmittal Form		Review for compliance and research issues/needs		Requires sign off on special circumstances, ie F&A waivers, space, etc.	Provides information to their admin for completion	Completes form online and assist PI's & OSP in ensuring the form has completed the routing process.
Conflict of Interest Form		Reviews for disclosures			Provides disclosures	Makes sure that PI's complete the form with the PTF
Proposal Review and Approval		Reviews for completeness and compliance with sponsor and university policies and guidelines				
IACUC & IRB Approvals		<p>-Follows up to see that approvals are in place before work begins on awards</p> <p>-Works with appropriate committee administrator to ensure protocols are active and appropriately attributed to sponsored award</p>	Post award will check the file on record for a copy of the protocol when the expense processes through OSP	<p>ORP reviews protocol</p> <p>ORP works with PI on Protocol revisions needed</p> <p>ORP sends copy of approved Protocol to PI and OSP for file</p>	<p>-Submits protocols and works with appropriate committee for approval</p> <p>-Identifies protocols attached to sponsored project and provides information to Service Center and OSP</p>	Works with PI to ensure all necessary approvals are obtained, in accordance with established departmental procedures, and that costs associated with active protocols are appropriately charged

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Compliance	Keeps abreast of regulatory changes; Implements policy procedures in response to changes; Shares with research community					Maintains knowledge of regulatory requirements in order to provide day to day guidance to PI's.
Cost Share Process		When award is made OSP works with appropriate departments to set up the cost share chart string; Annually OSP will circulate a new authorization form at the project anniversary and the end of the fiscal year.		Review and Approve commitment	Determines need and requests cost share support	Helps in acquiring appropriate signatures for cost share approval Provides the appropriate chart string to charge cost share; Tracks expenses to insure that cost share is met each year
University Certifications		Manages and completes various certifications on behalf of university				
Proposal Creation in PS		Enter proposals into the PS system				
Negotiation of T&C's		-The primary contact on grant and contract negotiation -Keep PI's notified of negotiation progress and issues			Works with technical counterpart to help reach consensus when necessary	
Industry Contracts		Negotiation lead Works with other university offices (OTTL, GC,) to work out contractual issues			Works with technical counterpart to help reach consensus when necessary	
Liaise w/Sponsors		Primary contact on all sponsored awards	Primary contact for billing/ financial reporting issues		Interacts with technical officer when necessary	

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Sponsor ERA Systems	Keeps abreast of all sponsor related electronic systems Trains community as necessary				Electronic submission of proposals and or reports as required by sponsor	Work with PI on electronic proposal preparation and electronic report submission where PI is required to submit online
AWARD ADMINISTRATION						
Award Set up and Updates		-Assigns Project numbers and "activates" awards in PS system -Updates(increases, decreases, budgetary changes in PS) - Inputs non-financial milestones - Sends PAN to PI/Dept	Input/update financial milestones and add any non standard billing milestones		Forwards award information and modifications to OSP	Keeps track of PI active projects; Follow up with OSP Pre Award if award is not active/updated as anticipated.
Subcontract Development & Negotiation	Risk Assessment	Drafts subcontract documentation based upon Subaward docs submitted by PI/Dept	Requests audit report from subawardees not subject to A-133 filing		Approves subcontract paperwork (reports, invoices). Monitors subcontractor's work and approves invoices	In consultation with PI, Submits SubAward forms to initiate subcontract process/modification
Change in Scope		-Works with PI to determine if there is a change in scope -Notifies sponsor for change approval			-Notifies OSP if there is a change -Works with administrator to provide justification for sponsor approval	Works with PI to draft justification of change and provides it to OSP
Change in PI		Notifies sponsor and request approval for PI change				With Dean's Office approval, works with new PI in obtaining supporting documentation as requested by OSP

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Supplemental Funding Requests		OSP signs off and submits request to sponsor			PI prepares supplemental funding proposal	Works with PI to prepare proposal
Pre-award Costs		-Reviews for request appropriateness -Activates the account -Reviews Advanced Accounts monthly			-Provides supporting documentation that an award will be made -works with admin to determine funds needed	Works with PI to complete the Advanced Account paperwork, including obtaining approvals and providing chartstring
No-cost Extension		-Processes extension -Notifies PI and department of approval via email	Update Financial & Billing Milestones as needed		Notifies OSP pre-award and/or Dept Admin of need for no-cost ext	Works with PI to determine need for no-cost ext, Notify pre-award, revise budget and provide supporting documentation to OSP per sponsor terms and conditions
Carry-forward Requests		Processes carry-forward & updates budget accordingly -Requests approval from sponsor when required			-Works with admin to forecast the expected carry-forward amount -Informs OSP pre-award of need	-Works with PI and OSP to determine amount of carry forward -Rebudgets approved carry-forward accordingly with PI concurrence
Rebudgeting requiring Sponsor approval		-Requests approval from sponsor	Reviews for appropriateness and works with Pre for sponsor approval if required. Process Budget Transfer once approval is obtained		-Works with admin to determine need and revise budget -Informs OSP	-Works with PI to determine need -Provides revised budget and justification

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PI Grant Transfers (In/Out)	Pre and Post coordinate activities.	-Coordinates with PI, Dept, Service Center, transferring institution and sponsor -Processes paperwork to sponsor and transferring institution	Confirm final financials for relinquishing letters - Prepares any required Financial Reports		Works with OSP and admin to provide supporting documentation and information needed to effect transfer(s)	Works with PI to provide paperwork, forecast costs, equipment, effective dates of transfer, resolve human resources issues Notifies OSP of PI hire/termination
Reporting		Coordinates information with PI & Service Center, & OTTL as necessary Sends out report reminders	Submits financial reports		Submits technical reports to sponsor	Maintains an understanding of the reporting schedules on sponsored projects; Assists PI as necessary in preparing reports
Closeout		Coordinates the acquisition of closeout documentation as required by sponsors Submits Final Patent and Property reports	Review grants ending within portfolio; check milestones; if none listed check folder Changes project status from O to A to R to D Submits final financial report Completes all contractually required financial documents		Receive project end date email from OSP. Review with DA, and contact pre award if a NCE will be requested, etc.. Prepare technical reports	Receive project end date email from OSP. Review with PI, and contact pre award if a NCE will be requested, etc.. If project is truly ending work with the PI to complete the checklist so the project can be closed out accurately, completely and timely. Ensures PI submits technical reports Confirm all expenses on ACR are final

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Policy (Development, Revision, Implementation)	<ul style="list-style-type: none"> -Keeps abreast of regulatory changes -Works with the appropriate university offices (Research Compliance, OGC, etc.) to develop policy -Communicate and educate community on changes 					<p>Learns about changes and works to implement them within university guidelines</p> <p>Provide guidance to PI's</p>
Process Checks and Wires			-Processes all sponsor payments and applies them to the appropriate sponsored project		Forwards checks to OSP for processing	-Forwards checks to OSP for processing
Authorize Access in People Soft		Provides access to members of project team			Identifies individuals whom should have access to their sponsored award	Works with PI to complete the authorization form in accordance with established departmental policy
TRANSACTIONAL ACTIVITY						All requisite supporting documentation needs to be attached to the charge even if it's not being routed through OSP
Payroll Inquiries			Review/Approve		Initiate and approve	Originate request with appropriate documentation
Review and Approve Procurement Inquiries			Review/Approve		Initiate and approve	Originate request with appropriate documentation
Budget Transfers			Review/Approve		Initiate and approve	Originate request with appropriate documentation including justification

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Cost Transfers & Labor Redistribution			Review documentation; check the budget for available dollar amounts and check to see that the charge falls within the scope of the work and budget period. If ok create a journal in the general ledger.		Initiate and approve	Evaluate when journals are necessary; originate paperwork, including appropriate documentation and justification, obtain required approvals, submit to OSP. Verify when done.
Invoicing and Drawdowns			Post Award will invoice and drawdown per sponsor requirements			
Subrecipient Monitoring		Pre-award gathers the appropriate information at the proposal stage.	Post Award reviews invoices for PI signature		Receives, Reviews and Signs invoices indicating the work satisfactory and is progressing at an acceptable pace.	Reviews for appropriateness of charges. Sends signed invoice to purchasing for processing and a signed copy to OSP
Monthly Expenditure Review			Post Award reviews documentation from a sample of transactions under 1K to confirm that documentation is sufficient to support that the expense is reasonable, allowable and allocable to the grant and will benefit the project within the project period.		Provide additional justification if necessary	Dept pulls together supporting documentation that would indicate the benefit to the project for selected transactions
Financial Reporting			OSP prepares all final financial reports per sponsor requirements			Works with OSP to reconcile accounts prior to filing of financial report
Internal Reporting			OSP Systems Mgr prepares	Reviews		In accordance with individual departmental practices

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Effort Reporting			HRIT sends to OSP who forwards to PI and Dept Admin		Having first hand knowledge of the project, the PI reviews, updates if necessary, and certifies effort report	Review, update if necessary, obtain PI certification and return to OSP
A-133 Audit			Works with auditors	Oversight	Participate in interviews if necessary.	Assist with supplying any department level information as requested
Internal Audits	work with Internal Audit Dept				Participate in interviews if necessary.	Assist with supplying any additional information requested
Agency Specific Audits	Work with Agency				Participate in interviews if necessary.	Assist with supplying any additional information requested
FFATA Reporting		Gathers information at Pre-award Stage. Reports in FFATA system			Provides updates on progress with subawards if requested	Works with PI to insure information is provided and deadlines are met
Recharge Center Cost Approvals			Checks the budget and dates of services		Approve	Review invoice from recharge center, confirm appropriate chartstrings, forward to PI for approval
Accounts Receivable Management			Apply all payments to invoices/projects; monthly review of A/R: Collections/refunds and writeoffs			Communicate any outstanding financial issues to your post representative
Tracking Cost sharing		Annually initiate C/S budget form	Includes Cost sharing in reports to sponsors	Provost office tracks their portion of the cost share - works with OSP/dept/service ctr to verify	Monthly Review of TDR with administrator	Monthly Review of TDR. Costshare should be steadily applied.

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Process Payroll & Encumbrances			OSP ensure the start and end dates are in line with the project and that there is budget available in that project account			Process paperwork through system once appropriateness of charge has been determined
Hiring and Termination Paperwork			For new hires, OSP ensures the start and end dates are in line with the project and that there is sufficient budget available in that project account	Review/approve all faculty related transactions	Signs form/reviews	Process paperwork through appropriate system
Payroll Distribution changes			OSP ensure the start and end dates are in line with the project and there is budget available in that project account		Initiate and approve	Process paperwork through system once appropriateness of charge has been determined
Summer Salary			Verify all information on form (paper) is complete and accurate and that grant is open and sufficient funds are available. Verify salary does not exceed 1/9 of previous academic year salary. Sign and submit form to HRSC. File copy.	Review/approve	Initiate and approve	Process paperwork through system once appropriateness of charge has been determined. This should happen prior to the month being charged
Buyout			Confirm amount requested is correct for period of time and that effort was budgeted then approve	Review/approve	Initiate and approve	Process paperwork through system once appropriateness of charge has been determined

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P-Card			OSP performs a post review of all expenses over 1K, and also a sampling of expense under 1K		Initiate request for pcard purchase	Keep PC usage consistant with BC policy. There should be a separation of duties within the department, with one individual responsible for processing Pcard transactions, and one individual responsible for reconciling monthly expenses. Original documentation for Pcard purchases is maintained at the department, and is provided to OSP for monthly sampling.
Expense Reports and Vouchers over 1K			If over 1K OSP reviews documentation to confirm that the expense is reasonable, allowable and allocable to the grant within the project period.		Initiate and approve	Ensure the budget line is properly funded before submitting. Use pre-pay account when appropriate. Process paperwork with appropriate documentation through appropriate system
Purchase Orders over 1K			Review/Approve Transactions		Initiate and approve	Ensure the budget line is properly funded before submitting.Process paperwork through appropriate system
Professional Services Agreements \$5K and above			OSP reviews transaction to confirm that the expense is reasonable, allowable and allocable to the grant within the project period.		Initiate and approve	Sole source or 3bids, work with procurement on a service agreement or P.O.

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Allocation Methodology	Provides final approval of allocation distribution				Notifies admin of the need to allocate costs across awards.	Works with the PI to provide a detailed explanation as to how costs will be shared across sponsored awards.
Tuition			Crosswalk to UIS, add dept approvers, fund tuition budget, review, approve, to Financial Aid		Initiate and approve	Originate in UIS. Send all necessary supporting docs to OSP

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TRAINING						
Administrators	Identify training needs, create materials				Attend training, certify when required	Attend training, certify when required
Faculty	Identify training needs, create materials				Attend training, certify when required	Attend training, certify when required