# OSR Tasks and Responsibilities

# General Research Administration Activities and Support

# Policy

# Review, interpret, and disseminate policies from federal and non-federal funding and regulatory agencies (within area of authority)

# Keep current with policies related to compliance activities and assess effect on the Institution

# Establish policies (within area of authority)

# Interpret Institution policies related to grants and contracts

# Develop standard procedures for research processes

# Communicate policies and their effect on Institution

# Implement Institution policies related to grants and contracts

# Monitor adherence to policies

# Enforce adherence to policies

# Identify issues across all topics for which guidance is necessary

# Training and Education

# Identify regulatory and/or policy issues for which training and education are required

# Coordinate training and education related to research and research support activities

# Determine appropriate audience for training and education (roles)

# Determine appropriate individuals in need of training/education

# Determine appropriate medium/method for training and education

# Schedule and deliver training and education

# Communicate need for and importance of training and education to research community

# Prepare content for training and education

# Identify and prepare instructors ("train the trainer") and determine appropriate complement of subject matter experts for training and education

# Establish and administer feedback process and effectiveness measures related to training and education

# Compliance - General

# Develop and implement a comprehensive research compliance program

# Conduct research compliance risk assessment

# Disseminate compliance information and new regulations to the research community

# Serve as advisor to research community on key compliance topics

# Comply with federal, state, other sponsors, and Institution policies and regulations governing research and sponsored programs

# Certify and monitor compliance

# Determine appropriate responses to incidents of non-compliance

# Act as liaison with federal regulatory agencies during external compliance reviews

# Cost Reimbursement

# Communicate F&A and fringe benefit rate to Institution personnel

# Pre-Proposal Support

# Identify funding opportunities

# Provide funding opportunity search engines on OSR website

# Provide reports to administrators for tracking funding trends

# Act as liaison with granting agencies, facilitating proposal development and promoting interaction (for large multi-disciplinary research opportunities)

# Work with the Congressional delegation to promote the Institution's areas of priority for funding

# Foster new multidisciplinary research initiatives

# Maintain database of proposal submissions and awards and provide information to Schools

# Assist with implementation of sponsor electronic grant processing systems such as Fastlane

# Proposal Development and Budgeting

# General

# Identify and communicate required training courses for PI to be eligible to submit proposal

# Attend the required training courses prior to submitting application for funding

# Provide template proposal forms and application materials

# Verify that there is some level of effort included in proposal per regulations

# Review and agree to proposal or application terms and conditions, as well as agency rules and regulations

# Confirm that the entire proposal meets administrative requirements outlined in the application instructions

# Ensure applicant has attended required training courses (e.g., RCR)

# Ensure applicant is eligible to be a principal investigator

# Technical Proposal

# Identify need for subcontracts and obtain their technical proposal and contact information

# Assist with identification of current and pending support [Other Support], as it exists at time of proposal

# Proposal Budget

# Prepare proposal budget commensurate with sponsor and Institution policies

# Request a facilities and admin. cost waiver request, if appropriate

# Provide help as needed to PIs and others on preparation of budgets and other forms

# Identify in-kind contributions according to Institution policy

# Document all matching funds (in-kind or cash)

# Identify and evaluate issues related to program income

# Verify budget items are in accordance with Uniform Guidance (which also includes cost accounting standards)

# Prepare small business subcontracting plan for contracts over $500K

# Transfer of Awards to Institution

# Communicate PI's plan to transfer grant to sponsor

# Communicate PI's plan to transfer grant to relinquishing institution's sponsored research office

# Contact department research administrator to determine status of appointment and grant transfer, and to discuss strategy to transfer grant

# Discuss with incoming PI an overview of transfer process and roles and responsibilities of both relinquishing institution and new institution

# Establish contact with relinquishing institution's Office for Sponsored Research and department

# Obtain copy of relinquishing institution's relinquishing statement and related documents

# Prepare transfer application with incoming PI

# Review and approve transfer application

# Submission of transfer application

# Resolution of outstanding issues with IRB and ACUC prior to submission of approval letters at just-in-time stage

# Communicate just-in-time requests to PI and department

# Endorse and submit just-in-time material to sponsor

# Request and set-up pre-spend account, if applicable

# Receive and process award

# Proposal Review, Approval, and Processing

# Log proposal into database

# Check final application for completeness

# Ensure proposals comply with the policies and procedures of the sponsor

# Sign as Institutional Official on behalf of the Institution assuring institutional oversight

# Review proposals to ensure they are consistent with Institution mission

# Review proposals to ensure committed resources are appropriate and available (e.g. facilities and equipment, background IP, COIT, animals/human and safety

# Review and confirm (with respect to assurance) budget items are in accordance with Uniform Guidance and cost accounting standards

# Confirm matching funds and cost sharing have been documented and approved

# Review and conduct initial quality assurance on total proposal (e.g. budget, justifications, forms) and sub-contracts

# Review proposals to ensure they are consistent with Institution policies

# Determine appropriateness of grantor

# Mail/submit proposal to sponsor

# Protocol Review, Approval, and Monitoring

# Review sponsor rules and regulations as well as applicable contract terms and conditions relative to Institution policies and procedures to ensure they will be properly included in protocol submission

# Determine status of reviews performed by other compliance committees

# Ensure sponsor terms and conditions are consistent with final protocol terms and materials

# Ensure research activities are performed in accordance with reviewed and approved protocol materials

# Ensure research data involving human subjects is not shared unless this is approved

# Obtain additional compliance committee approvals as necessary to accommodate potential changes in protocol activities

# Maintain appropriate, current approvals from all compliance committees during the life of the research activity and appropriate records and documentation

# Notify PI that a protocol's approval will soon expire and direct investigators to apply for renewal of the approval

# If applicable, notify Sponsor of expired protocol status

# Conflicts of Interest - Strategy

# Define Conflicts of Interest (COI) - Interpret and apply Federal and sponsor regulations to Institution

# Define COI - apply Institution interpretations of Federal/sponsor regulations to individual Schools

# Develop and implement mechanism for reporting, reviewing and responding to COI

# Develop COI methodology to help identify, capture, and process COI data, including, for example, COI form development

# Accumulate, report, and communicate to appropriate Institution leaders overall Institution COI performance information

# Develop and recommend COI compliance improvement plan based upon overall Institution COI performance information

# Approve COI compliance improvement plan in step 6

# Perform and report COI update identifying COIs occurring after initial COI review

# Develop mitigation plan with respect to step 8

# Develop training, education, and communication for Conflicts of Interest

# Conflicts of Interest - Mechanics

# Participate in Conflicts of Interest (COI) training and education

# Review Conflicts of Interest - Significant Financial Relationships (SFRs)

# Review Conflicts of Interest - Annual Basis

# Review Conflicts of Interest - Proposal

# Review Conflicts of Interest - faculty having a dual appointment

# Develop COI management plan resulting from COI review

# Oversee mitigation of COI under the COI management plan

# Communicate COI to sponsor

# Award Acceptance and Account Establishment

# Pre-Award

# Request pre-award accounts, if necessary

# Grant Acceptance and Account Set-Up

# Receive award notice for grant

# In the event of an unanticipated award (proposal not submitted through OSR), evaluate whether award is sponsored project and pair up with proposal

# Pair up with award proposal

# Notify PI award has been received. Send copy of Notice of Grant Award to the PI/Co PI's, Chairs, GCO's and Unit Bus. Admin (as appropriate)

# Compare award with proposal and reconcile differences (including terms and conditions)

# Review, negotiate, and accept award on behalf of the Institution

# Enter project info in system (InfoEd/CUFS); for new projects establish an acct/for existing projects, add funding to current acct

# Request that PI and Unit Admin post transactions against the account and notify Financial Systems to provide access

# Send copies of the project account summaries (PAS) to PI, school administrator, Financial Systems, and HRIS

# Reconcile PAS with notice of award and proposal

# Request system access for co-PI's, Unit Admins financial system account/budget info

# Contract Negotiations and Acceptance

# Receive contract and forward copy to PI

# Review and approve any revisions to project scope with PI

# Modify project budget in line with the award budget provided by the sponsor

# Review, negotiate, accept, and notify PI of the project terms and conditions and cc: dept. admin

# Update systems for progress of negotiation, execution.

# If federal contract over $500,000, if not done earlier, prepare a small business sub-contracting plan

# Notify appropriate regulatory office(s) if changes to project scope will affect approved protocols

# For Sub-contracts: (if applicable) Initiate outgoing subcontract (new or Amendment)

# For Sub-contracts: Enter subcontract in database and issue the Subcontract or Amendment with cc: to dept and faculty

# For Subcontracts: Receive fully executed Subcontract and distribute to PI, dept, ASRSP asking them to encumber funds

# Management of Awards

# Budget Management

# Identify personnel for salary charges

# Ensure key personnel are consistent with proposal or notify agency if major changes are made

# Establish policy and procedures that ensure the accuracy and timeliness of all financial transactions posting to the general ledger

# Review re-budgeting requests and either approve them or return them for issue resolution (if necessary, seek sponsor approval)

# Ensure A-133/Audit reports are received from subcontractees

# Review carry forward balances > 25%

# Approve or recommend approval of carry forward of unexpended funds per award terms

# Report cost sharing on sponsored awards

# Provide institutional oversight related to documenting cost sharing and/or matching

# Scientific/Program Management

# Submit interim technical reports

# Primary Responsibility: Principal Investigator

# Secondary Responsibility:

# Review and approve incoming materials transfer agreements

# Submit progress report for non-competitive renewals

# Primary Responsibility: Principal Investigator

# Secondary Responsibility:

# Provide local oversight on implementation of Institution, state and federal policies and regulations

# Review programmatic changes to the project

# Provide institutional endorsement to sponsor for requests for administrative or programmatic changes initiated by PI

# Close-Out of Award

# Provide information on requirements for closeout

# Submit the final technical report

# Retain grant records in accordance with institution and sponsor record retention guidelines

# For no cost extension situations or receipt of supplemental funds, make changes in systems and notify accounting

# Work with units on technical delinquent reports when notified by agency

# Review and provide guidance for completion of patent reports

# Effort Reporting

# General/Pre-Proposal

# Monitor faculty activity to ensure commitments to sponsors can reasonably be met; direct changes in commitments as necessary (e.g., reduction in clinical schedule).

# Proposal Preparation and Submission

# Estimate sponsored project effort %; ensure can be met, given other commitments/duties and within reasonable work schedule.

# For faculty with appointment(s) outside of institution, disclose that appointment to sponsor in proposal.

# Prepare/update external appointment MOU, if applicable. Maintain copy in department and submit one copy to OSR.

# Disclose current and pending support [Other Support], as it exists at time of proposal.

# Review proposal for compliance with federal requirements and ensure appropriate for submission (e.g., appropriate format and adherence to guidelines). Endorse on behalf of the institution.

# If work begins before award received, identify need for establishment of pre-spending account.

# Award

# If award budget is less than proposed budget, determine with PI whether proposed effort commitment to be reduced.

# If award budget is less than proposed budget, determine with PI other budget categories to be reduced if effort commitment not to be reduced, and/or confirm cost share.

# Review effort commitments on existing projects; revise if necessary to meet new award commitment

# Enter new award effort commitment %s and start/end dates in database.

# Project Performance

# Monitor actual effort to ensure award effort commitment will be met (over budget period); change actual effort (and re-align salary) and/or communicate reduction to sponsor as necessary.

# Work with PI to request sponsor approval for permanent reduction in key personnel effort greater than 25% of award effort commitment or in accordance with sponsor guidelines.

# Update effort commitment %s and start/end dates in database as necessary.

# Monitor conformance to policies, procedures, guidelines and work to modify practices as necessary.

# Identify effort reporting issues for which guidance is necessary.

# With input from faculty and administrators, develop/maintain policies, guidelines and procedures that clearly articulate the whys/whats/hows and conform to federal requirements.

# Monitor effort reporting regulation developments; assess and incorporate into policies, guidelines, procedures as needed.

# Training and Communication

# Prepare training materials and conduct periodic training for faculty and administrators.

# Attend training sessions and/or complete self-administered training programs.

# Ensure faculty and administrators are receiving training.

# Assess training effectiveness and modify training as necessary.

# Develop/update and distribute reference material (e.g., Activity Reporting Manual).

# Serve as the dedicated resource for daily/ad hoc questions; provide individual training sessions and assistance.