Office of Sponsored Programs
East Hill Plaza
373 Pine Tree Road
Cornell University
Ithaca, NY 14850-2820

t: 607-255-5014
f: 607-255-5058
e: osp-help@cornell.edu

8:00 am - 4:30 pm

http://www.osp.cornell.edu/
# Sponsored Project Lifecycle Roles and Responsibilities

<table>
<thead>
<tr>
<th>Responsible/Involved Party</th>
<th>PI</th>
<th>Unit</th>
<th>OSP</th>
<th>SPS-F</th>
<th>Other Offices</th>
<th>Sponsor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Development</td>
<td>✓</td>
<td>✓</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Obtain Compliance Approval(s) if required</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td>ORIA, UCHS, IACUC, IBC, EH&amp;S</td>
<td></td>
</tr>
<tr>
<td>Complete Form 10 (incl. Signatures)</td>
<td>✓</td>
<td>✓</td>
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<td></td>
</tr>
<tr>
<td>Deliver Proposal, Copies, and Completed Form 10 to OSP (due 5 business days prior to sponsor deadline)</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Review of Proposal by OSP</td>
<td>questions/ revisions</td>
<td></td>
<td></td>
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<tr>
<td>Institutional Approval and Proposal Submission for Sponsor Review</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Notification of award</td>
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<td></td>
<td></td>
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<td></td>
<td>✓</td>
</tr>
<tr>
<td>Negotiation of Terms and Conditions</td>
<td>questions/ revisions</td>
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<td>✓</td>
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<tr>
<td>All compliance approvals received</td>
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<td>ORIA, UCHS, IACUC, IBC, EH&amp;S</td>
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<tr>
<td>Award Accepted</td>
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<tr>
<td>Award distributed to PI, Department, SPS-F and others</td>
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<tr>
<td>Request to establish project account / account opening</td>
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<td>✓</td>
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<td>✓</td>
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<tr>
<td>Perform Research / Project Scope</td>
<td>✓</td>
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<tr>
<td>Expending Funds to Support Project</td>
<td>✓</td>
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<tr>
<td>Project Management (interim reports, compliance renewals, extensions, subcontracts, notifications, etc.)</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td>Final Reporting</td>
<td>Technical</td>
<td>Patent</td>
<td>Fiscal, Equipment</td>
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<tr>
<td>Project Closeout</td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
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</tbody>
</table>

## GLOSSARY
- PI: Principal Investigator [www.research.cornell.edu/4r4policies/P1-policy.html](http://www.research.cornell.edu/4r4policies/P1-policy.html)
- OSP: Office of Sponsored Programs [www osp cornell edu](http://www osp cornell edu)
- SPS-F: Sponsored Program Services - Financial [http://accounting cornell edu/Sponsored Funds cfm](http://accounting cornell edu/Sponsored Funds cfm)
- Unit: Department, Center, Program, College, BSC [www.oria cornell edu](http://www.oria cornell edu)
- ORIA: Office of Research Integrity and Assurance [www irb cornell edu](http://www irb cornell edu)
- IACUC: Institutional Animal Care and Use Committee [www iacuc cornell edu](http://www iacuc cornell edu)
- EHS: Institutional Biosafety Committee [www ibs cornell edu](http://www ibs cornell edu)
- EH&S: Environmental Health and Safety [www esas cornell edu](http://www esas cornell edu)
- CCTEC: Cornell Center for Technology, Enterprise, and Commercialization [www cctec cornell edu](http://www cctec cornell edu)
Proposal Workflow...

Other Colleges
- PI
- Department Chair
- Sponsor
- Department Business Administrator
- OSP

CALS and CVM
- PI
- Department Chair
- Sponsor
- Department Business Administrator
- College Research Office
Proposal Review

What Does OSP Review?
1. **Sponsor’s Guidelines:**
   - Presence of terms and conditions
   - Limitations on number of applicants
   - Submission method and deadline
   - Certifications and assurances

2. **Form 10:**
   - Form complete
   - Signatures present and correct
   - Data consistent with proposal

3. **PI Eligibility**
   - Form 5 for non-eligible PIs

4. **Proposal**
   - Application package/form is correct
   - Cover/Face Page
   - Abstract or Project Summary
   - Narrative/Research Plan/Scope of Work
   - Bibliography/References
   - Curriculum Vitae/Biosketch
   - Other Support
   - Budget
   - Budget Narrative/Justification
   - Resources & Facilities
   - Appendices/Supplemental Documents
   - Subcontract Plan/MBE/WBE
5. Institutional, Federal and State Compliances
   • COI/COC
   • Human Subjects
   • Animals
   • IBC
   • GMOs
   • Radiation
   • Biological Agents and Toxins
   • Hazardous Materials
   • International Activities
   • Board of Trustees Approval
   • Renovation/Facilities
   • Stem Cells
   • Export Controls
   • Background Intellectual Property
   • Debarment

6. Subaward Proposal (If applicable)
   • Letter of Commitment
   • Scope of Work
   • Subaward Budget

7. Review related agreements

8. Background Intellectual Property
Award Workflow...

All Colleges
Award Review

What Does OSP Review?

• Grants
• Contracts
• Cooperative Agreements
• Restricted Access Data Sets (RADS)
• Material Transfer Agreements (MTA)
• Non-Disclosure Agreements (NDA)

• Award is consistent with the proposal/statement of work/budget
• Award terms and conditions are acceptable
• Institutional, federal and state compliances
The university will accept only sponsored research projects that are expected to further the research and educational mission of the institution.

**Unacceptable Awards**

- Publication restrictions
- Data/results not owned by Cornell
- Classified research
- Restrictions on public access/award publicity
- Restrictions on who can perform the research
Some Important Resources

- Sponsored Projects Portal: https://portal.research.cornell.edu/
- Fastlane Registration: http://www.osp.cornell.edu/FastLane/
- NIH eRA Commons Registration: http://www.osp.cornell.edu/NIH/
- Funding Opportunities Databases: http://www.research.cornell.edu/Funding/
- Form 10: http://www.osp.cornell.edu/Forms/form10/
- Form 5: http://www.research.cornell.edu/VPR/Policies/PI_eligibility_app.html
- Office of Research Integrity and Assurance: http://www.oria.cornell.edu/
- Cornell Center for Technology and Commercialization: http://www.cctec.cornell.edu/
- Intercampus Initiatives - Collaborating with WCMC: http://intercampusaffairs.cornell.edu/procedures
- VIVO: http://vivo.cornell.edu/