

Roles and Responsibilities

Western Oregon University (WOU) supports faculty and staff in pursuing external funding to advance the institution's mission of research, scholarship, teaching, and service. Sponsored projects involve collaboration between the **Principal Investigator (PI)** or **Project Director (PD)**, **Sponsored Projects Office (SPO)**, and **departmental/administrative support**. This document outlines the general responsibilities of each during the lifecycle of a grant or contract.

I. Principal Investigator (PI) / Project Director (PD) Responsibilities

The **PI/PD** has primary responsibility for the **scientific, programmatic, administrative, and financial** management of the sponsored project. This includes:

1. Proposal Development and Submission

- Identifying relevant funding opportunities.
- Developing project objectives, methodology, and budget in collaboration with SPO Pre-Award staff.
- Ensuring proposal content complies with funding agency requirements and university policies.
- Completing internal routing forms and securing departmental/college approvals.
- Submitting all materials to SPO for institutional review and official submission.

2. Project Execution and Programmatic Oversight

- Ensuring the project is carried out as proposed and approved by the sponsor.
- Managing project personnel, including hiring, training, and supervising staff and students.
- Overseeing scope of work, deliverables, timelines, and technical reporting.
- Ensuring ethical conduct of research and program activities in compliance with applicable regulations (e.g., IRB, IACUC, COI, etc.).

3. Financial Management

- Reviewing and approving expenditures to ensure they are allowable, allocable, and reasonable.
- Monitoring budget balances and working with Post-Award and department staff to track spending.
- Initiating budget revisions as needed, in consultation with SPO Post-Award staff.
- Ensuring effort certification and cost-sharing documentation are completed accurately and timely.

4. Compliance and Reporting

- Complying with all applicable federal, state, sponsor, and WOU policies and procedures.
- Submitting technical/programmatic reports by sponsor deadlines.
- Ensuring subrecipients (if applicable) comply with reporting and performance expectations.
- Participating in audits and responding to sponsor or institutional inquiries as necessary.

II. Sponsored Projects Office (SPO) Responsibilities

The **Sponsored Projects Office** provides guidance, oversight, and institutional compliance throughout the grant lifecycle. Responsibilities are divided between **Pre-Award** and **Post-Award** staff.

A. SPO Pre-Award Responsibilities

- Identifying funding opportunities and sharing with relevant faculty/staff.
- Reviewing and interpreting solicitation guidelines and sponsor requirements.
- Assisting with proposal development: budget preparation, documentation, and compliance review.
- Coordinating internal review and approval routing (e.g., budget, cost share, F&A waivers).
- Submitting proposals to external sponsors on behalf of WOU (official authorized submission).

B. SPO Post-Award Responsibilities

- Reviewing, negotiating, and accepting award agreements on behalf of WOU.
 - Setting up award accounts and ensuring accurate documentation in WOU's financial systems.
 - Providing ongoing guidance on financial and administrative compliance.
 - Monitoring expenditures and approving changes such as no-cost extensions, rebudgeting, or prior approvals required by the sponsor.
 - Reviewing and submitting financial reports to funders, in coordination with WOU Business Services.
 - Supporting close-out activities, including submission of final technical and financial reports.
 - Ensuring compliance with federal regulations (e.g., Uniform Guidance), sponsor terms, and WOU policies.
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III. Departmental / Administrative Support

- Assisting PI/PD with hiring, payroll processing, procurement, travel arrangements, and documentation.
 - Monitoring expenditures and reconciling accounts to support accurate reporting.
 - Providing operational support to maintain compliance with university and sponsor requirements.
 - Supporting grant reporting and documentation under direction of PI/PD.
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IV. Faculty, Staff, and Student Participants

- Carrying out research, training, evaluation, or dissemination activities under the direction of the PI/PD.
- Adhering to WOU and sponsor guidelines for responsible conduct of research and compliance.



- Completing required trainings (e.g., CITI, conflict of interest disclosures) as applicable.

Summary

Responsibility Area	Principal Investigator (PI/PD)	SPO (Pre-Award / Post-Award)
Identify Funding	Leads	Supports
Proposal Writing	Leads	Reviews/Advises
Budget Development	Collaborates	Prepares/Reviews for Compliance
Proposal Submission	Supports	Submits
Award Negotiation	Informed	Leads
Project Execution	Leads	Advises
Financial Management	Leads/Approves	Monitors/Reviews
Compliance	Ensures	Ensures Institutional Oversight
Reporting	Prepares Technical Reports	Submits Financial Reports
Closeout	Leads with Support	Leads Final Reporting

This guide provides an overview and may be supplemented by sponsor-specific or project-specific requirements. For questions or support, please contact the **Sponsored Projects Office** at sponsoredprojects@wou.edu