Process: Contracts and Grants Sub-process: Grant Management

Document Title: Roles and Responsibilities Matrix

Purpose of document: This matrix is designed to provide guidance on the assignment of responsibilities across campus functions as they relate to the management of an award. This matrix should be referenced by all parties that are involved in any point along the award life cycle. This matrix is not an exhaustive list of all campus business practices. Moreover, this matrix does not replace departmental policy. The normal business practices of the campus function should be followed. It should only

be used as a guide for communicating owners (O) and contributors (C) of award management responsibilities.

O = Owner, C = Contributor Legend:

gena:	O = Owner, C = Contributor	Functions										
sponsibilities		PI	Department Chair	Dean / Director	OSP (Pre- Award)	Contracts & Grants (C&G) Office (Post- Award)	College / Dept Level Admin	VC for Finance Administration	Provost	Research Compliance Officer	Office of Legal Affairs	Other
	Proposal Preparation and Submission											
	1 Reviews requests for proposals for technical requirements	0			С					С		
	2 Reviews requests for proposals for institutional compliance	С			0							
	3 Prepare technical proposal	0										
	4 Reviews proposed project to verify that it is in-line with departmental and institutional mission	С	0	С	С							
	5 Develops initial budget draft to accomplish proposed scope of work	0			С							
	6 Reviews budget for appropriate salaries, fringes, tuition, indirect, and escalations	С			0							
	7 Requests and documents approval for cost sharing	0										
	8 Provides documentation for cost sharing	С										
	9 Reviews and approves required and voluntary cost sharing		С	С	С	С		0	0			
	Prepares final version of proposal as required by the sponsor. Completes the college/department's portion of the Internal Routing Forms and, as appropriate, other attachments. Routes all forms for internal department signatures.	0	С	С	С				С			
	Requests and documents University signature approvals of Internal Routing Forms and, as appropriate, other attachments. Routes all forms for AOR and other University signatures as applicable.				0							
	12 Provides proposal to Pre-Award in advance of sponsor deadline	0										
	13 Provides authorized University signature and submits proposal as dictated by sponsor instructions.				С				0			
	14 Negotiates material transfer, confidentiality agreements, and intellectual property	С			С						0	
	15 Negotiates sponsored research agreements				-						0	
	16 Maintains proposal pending files and database				0							

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		Functions										
Responsibilities		PI	Department Chair	Dean / Director	OSP (Pre- Award)	Contracts & Grants (C&G) Office (Post- Award)	College / Dept Level Admin	VC for Finance Administration	Provost	Research Compliance Officer	Office of Legal Affairs	Other
•	Regulatory Compliance											
	1 Prepares and submits protocols for research involving human subjects, animal use, and biosafety hazards	0	С									
	2 Verifies investigators are submitting protocols to appropriate compliance committee(s)	0	С		С					С		
	3 Approves compliance protocols				С					С		O - IRB/IACUC/IBC
	4 Provides documentation of certification and representations to sponsor	0			С							
	Verifies compliance with federal regulations regarding financial disclosure of potential conflicts of interest	С			0				С	С		
	6 Maintains export control documentation and clearances for faculty and staff				С				С	0	С	
	Award Negotiation, Acceptance, and Establishment											
	1 Accept award on behalf of University				С				0			
	2 Negotiate, approve, and notify the PI of project terms and conditions.				0						0	
	Agree to terms and conditions regarding performance clauses	0			С							
	4 Establish fund in financial system based on award documentation					0						
	5 Send copy of Award Letter (i.e., Notice of Award) to PI and appropriate department support (e.g., Unit Business Administrator).				0							
	6 Notify PI that fund has been established.					0						
	7 Provide documentation of certifications of approvals to sponsors	С			0							
	8 Initiate request for sub-award	0										
	9 Develop, draft, and negotiate sub-award				0						С	

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		Functions										
Responsibilities		PI	Department Chair	Dean / Director	OSP (Pre- Award)	Contracts & Grants (C&G) Office (Post- Award)		VC for Finance Administration	Provost	Research Compliance Officer	Office of Legal Affairs	Other
Effort Reporting												
1 Provide information o policy	n compliance with effort reporting				С	0						
2 Complete time and ef certification of other p	fort reports including approving ersonnel	0										
3 Collect and verify con	npliance with effort reporting policy					0						
4 Manage time and efformation of time a	rt reporting system and maintain and effort reports.					0						

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		Functions										
Responsibilities		PI	Department Chair	Dean / Director	OSP (Pre- Award)	Contracts & Grants (C&G) Office (Post- Award)	College / Dept Level Admin	VC for Finance Administration	Provost	Research Compliance Officer	Office of Legal Affairs	Other
•	Managing the Award - Financial											
	1 Verifies the allowability, reasonableness, allocability, and consistency of expenditures	0				С						
	2 Provides oversight of sponsored project administration including the review and approval of cost transfers and					0						
	3 Initiates and encumbers personnel transactions	0				С						
	4 Certifies cost sharing and provides to Post-Award	0										
	5 Reviews and reports cost sharing efforts to sponsor					0						
	6 Reviews expenditures in restricted budget categories	С				0						
	7 Initiates request for re-budgeting and cost transfers	0										
	8 Approves requests for re-budgeting and cost transfers according to sponsor requirements				С	0						
	9 Requests no-cost time extension	0			С							
	Reviews and approves requests for no-cost time extension				0							
	11 Indirect Cost Rate Negotiation					0		С				
	12 Indirect Cost Receipts Allocation prepared according to policy then reviewed for approval by Provost, VC Finance and Chancellor					0		0	0			O - Chancellor
	13 Approves payment of sub-recipient invoices (including certification on final invoice for agreement with completion	0				С						
	14 Submits all required invoices to sponsor					0						
	Performs drawdowns (i.e., letters of credit)					0						
	Monitors invoices and aging of receivables					0						
,	17 Performs follow-up on outstanding receivables and determines need for write-off	С	С	С		0						
,	18 Revenue collection					0						C - Controller's Office
	19 Applies payment to proper fund					0						
2	20 Reconciles cash to GL					0						

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		Functions										
Responsibilities		PI	Department Chair	Dean / Director	OSP (Pre- Award)	Contracts & Grants (C&G) Office (Post- Award)	College / Dept Level Admin	VC for Finance Administration	Provost	Research Compliance Officer	Office of Legal Affairs	Other
	Managing the Award - Non-Financial											
	1 Conduct the sponsored project and provide overall oversight on all research activities	0	С	С								
	2 Hire or assign research personnel for the project	0										
	3 Prepare and submit technical reports and provide other deliverables to the sponsor as required	0			С							
	4 Initiate material transfer agreements	0									С	
	5 Provide oversight on the implementation of University, state, and federal policies and regulations	С	С	С	С	С		С	С	С	С	
	6 Review programmatic changes to the project	0			С							
	7 Review and approve incoming materials transfer agreements									С	0	
	Financial Reporting											
	1 Provide information for and prepare financial reports	С				0						
	2 Review and analyze financial reports to external sponsors	С				0						
	3 Provide interim financial reports to the sponsor	С				0						
	Closing Out the Award											
	1 Documents cost sharing funds as required	0				С						
	2 Respond to closeout checklist and confirm award termination	0			С	С						
	3 Notify PI and C&G completion of final technical report and financial report				0							
	4 Prepares and submits to sponsor final technical report	0										
	5 Prepares and submits to sponsor financial report and final invoice as required	С				0						
	6 Inactivate fund					0						
	7 File appropriate closeout documentation				С	0						

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