

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.

Legend: O = Owner, C = Contributor

		Functions										
		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
Responsibilities												
	Proposal Preparation and Submission											
1	Reviews requests for proposals for technical requirements	O			C					C		
2	Reviews requests for proposals for institutional compliance	C			O							
3	Prepare technical proposal	O										
4	Reviews proposed project to verify that it is in-line with departmental and institutional mission	C	O	C	C							
5	Develops initial budget draft to accomplish proposed scope of work	O			C							
6	Reviews budget for appropriate salaries, fringes, tuition, indirect, and escalations	C			O							
7	Requests and documents approval for cost sharing	O										
8	Provides documentation for cost sharing	C										
9	Reviews and approves required and voluntary cost sharing		C	C	C	C		O	O			
10	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.	O	C	C	C				C			
11	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.				O							
12	Provides proposal to Pre-Award in advance of sponsor deadline	O										
13	Provides authorized University signature and submits proposal as dictated by sponsor instructions.				C				O			
14	Negotiates material transfer, confidentiality agreements, and intellectual property	C			C						O	
15	Negotiates sponsored research agreements										O	
16	Maintains proposal pending files and database				O							

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Regulatory Compliance											
1	O	C									
2	O	C		C					C		
3				C					C		O - IRB/IACUC/IBC
4	O			C							
5	C			O				C	C		
6				C				C	O	C	
Award Negotiation, Acceptance, and Establishment											
1				C				O			
2				O						O	
3	O			C							
4					O						
5				O							
6					O						
7	C			O							
8	O										
9				O						C	

		Functions									
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Responsibilities	Effort Reporting										
	1 Provide information on compliance with effort reporting policy				C	O					
	2 Complete time and effort reports including approving certification of other personnel	O									
	3 Collect and verify compliance with effort reporting policy					O					
	4 Manage time and effort reporting system and maintain certifications of time and effort reports.					O					

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

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Managing the Award - Non-Financial											
1	O	C	C								
2	O										
3	O			C							
4	O									C	
5	C	C	C	C	C		C	C	C	C	
6	O			C							
7									C	O	
Financial Reporting											
1	C				O						
2	C				O						
3	C				O						
Closing Out the Award											
1	O				C						
2	O			C	C						
3				O							
4	O										
5	C				O						
6					O						
7				C	O						