

Roles and Responsibilities Matrix for Research Administration

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	Dept Chair	Dean	Pre-Award	Contracts & Grants Office (Post-Award)	VC- Bus.Fin	VC for Research	Research Compliance Officer	Tech Transfer	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						
5	Develops initial budget draft to accomplish proposed scope of work	O			C						
6	Reviews budget for appropriated salaries, fringes, tuition, indirect, and escalations	C			O						
7	Requests and documents approval for cost sharing	O			C						
8	Approves and provides documentation for cost sharing	C	O								
9	Reviews and approves required and voluntary cost sharing		C	C	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						
11	Requests and documents University signature approvals of Internal Routing Forms and, as appropriate, other attachments. Routes all forms for University signatures.				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.				O						

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Responsibilities	6	Notify PI that Fund has been established					O					
	7	Provide documentation of certifications of approvals to sponsors	C			O						
	8	Request pre-award fund setup (e.g., Letter of Guarantee) if needed	O									
	9	Approve pre-award costs and commitment of department funds if project is not funded		O	O							
	10	Initiate request for sub-award	O									
	11	Develop, draft, and negotiate sub-award				O						
	Effort Reporting											
	1	Provide information on compliance with effort reporting policy		C	C		O					
	2	Distribute and collect effort reports					O					
	3	Complete time and effort reports including approving certification of other personnel	O									
	4	Verify compliance with effort reporting policy			C		C	O	O			
5	Manage time and effort reporting system and maintain certifications of time and effort reports.					O						
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						

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Responsibilities	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					O						
	9	Requests no-cost time extension	O										
	10	Reviews and approves requests for no-cost time extension				O	C						
	11	Indirect Cost Rate Negotiation					O						
	12	Indirect Cost Receipts Allocation					C	C	O				
	13	Approves payment of sub-recipient invoices (including certification on final invoice for agreement with completion)	O				C						
	14	Submits all invoices (including sub-award 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						
	19	Applies payment to proper fund					O						
	20	Reconciles cash to GL					O						
			Managing the Award - Non-Financial										
		1	Conduct the sponsored project and provide overall oversight on all research activities	O	C	C							
		2	Hire or assign research personnel for the project	O									
		3	Prepare and submit technical reports and provide other deliverables to the sponsor as required	O			C						

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Responsibilities	4	Initiate material transfer agreements	O								C		
	5	Provide oversight on the implementation of University, state, and federal policies and regulations	C	O	C			C	C				
	6	Review programmatic changes to the project	O										
	7	Review and approve incoming materials transfer agreements									O		
	Financial Reporting												
	1	Provide information for and prepare financial reports	C				O						
	2	Review and analyze financial reports to external sponsors	C				O						
	3	Provide interim financial reports to the sponsor	C				O						
	Closing Out the Award												
	1	Documents cost sharing funds as required	O				C						
	2	Respond to closeout checklist and confirm award termination	O				C						
	3	Notify PI of the need for completion of final technical report				O							
	4	Prepares and submits to sponsor final technical report	O										
	5	Prepares and submits to sponsor financial report and final invoice as required	C				O						
	6	Inactivate fund					O						
	7	File appropriate closeout documentation					O						