

| | A | B | C | D | E | F | G | H | I |
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| 1 | Research Administration: Roles and Responsibilities Matrix | | | | | | | | |
| 2 | <i>This Matrix identifies common lifecycle award activities and provides guidance regarding the responsible parties; It is not meant to be prescriptive or exhaustive and is subject to change.</i> | | | | | | | | |
| 3 | | | | | | | | | |
| 4 | R= Responsible: the party ultimately responsible for ensuring the task is completed (person who actually DOES the work). | | | | | | | | |
| 5 | A= Accountable: answerable for the correct and thorough completion of the task (person is obligated to make sure the work is done, and is correct). | | | | | | | | |
| 6 | C= Consulted: a party whose opinion may be sought or acts as a subject matter expert. | | | | | | | | |
| 7 | I= Informed: a party kept apprised of the task being completed and its outcome. | | | | | | | | |
| 8 | | | | | | | | | |
| 9 | (** Task initiated with a Transaction Form) | | | | | | | | |
| 10 | RESEARCH ADMINISTRATION PROCESS | Research Administration (RA) | Research Finance (RF) | Principal Investigator (PI) | College/ Department | CRI | OGC | Research compliance Offices: RC, IRB, IACUC, IBC, University Compliance Office, etc. | Other Offices |
| 11 | | | | | | | | | |
| 12 | Interpreting Funding Opportunities | | | | | | | | |
| 13 | Obtain potential funding opportunities | | | A/R | C | | | | C: Research Dev |
| 14 | Collaboratively work in interpreting funding agency guidelines to determine institutional and PI eligibility (all award types) | C | | A | R | | | | |
| 15 | Manage limited submission process | I | | A | C | | | | R: SVPR & Research Development |
| 16 | Proposal Preparation | | | | | | | | |
| 17 | Review and understand funding agency instructions for proposal preparation | I | | R | A | | | | |
| 18 | Identify, indicate & obtain approval for cost sharing in proposal | I | | R | A | | | | C:SVPR as applicable |
| 19 | Identify & indicate need for institutional approvals for project (e.g. IRB, IACUC, IBC) | I | | R | A | | | C (any) | |
| 20 | Develop & revise technical narrative | | | R | A | | | | |
| 21 | Develop administrative pages of proposal | C | | A | R | | | | |
| 22 | Ensure Faculty is not over maximum allowed effort | I | C | R | A | | | | |
| 23 | Identify subcontractors/collaborators & collect necessary paperwork | I | | R | A/R | | | | |
| 24 | Develop & revise budget; ensure budget accuracy | C | | A | R | | | | |
| 25 | Proposal Review and Approval | | | | | | | | |

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| 26 | Review and approve before sending proposal to RA | | | R | A/R | | | | |
| 27 | Provide institutional review & approval of proposal & budget | A/R | | C | R | | | | |
| 28 | Review proposed cost sharing commitment for compliance with University policy & funding agency terms | A | | C | R | | | | |
| 29 | Review & Approve non-standard F&A (indirect cost) rate | C | I | I | A/R | | | | |
| 30 | Identify potential export control matters, when necessary, obtain additional review | I | | A/R | I | | C | C (RC) | |
| 31 | Review & confirm potential institutional approvals stated in proposal (e.g. IRB, IACUC, IBC) | A | | R | I | | | C (any) | |
| 32 | Review subcontractors' proposal & check for their institutional approval (SOI) | A | | R | R | | | | |
| 33 | Review and confirm subrecipient versus contractor determination, as applicable | A | | R | R | | | | |
| 34 | Review and confirm independent contractor/vendor/sub-recipient determination, as applicable | C | | R | A/R | | C | | I: HR/ Procurement |
| 35 | Review proposal to ensure post doctoral fellow salary requirements are met pertaining to agency guidelines | A | | R | C | | | | |
| 36 | Make revisions & corrections to proposal after institutional review & prior to submission | I | | R | A | | | | |
| 37 | Proposal Submission | | | | | | | | |
| 38 | Submit proposals to funding agencies on behalf of institution | A/R | | I | R | | | | |
| 39 | Just-in-Time and Other Post-Submission Activities | | | | | | | | |
| 40 | Initiate institutional approvals for project as needed (e.g. IRB, IACUC, IBC) | I | | R | A | | | C (any) | |
| 41 | Prepare/collect paperwork for funding agency (JIT); e.g. Other Research Support report | C | | R | A | | | | |
| 42 | Review, approve & submit paperwork to funding agency (JIT) | A | | R | C | | | | |
| 43 | Review COI/FCOI / Research Certification | A | | R | C | | | C (RC/UCO) | I: Compliance |

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| 44 | Confirm if COI/FCOI needs to be reported to funding agency | A | | C | R | | | C (RC/UCO) | I: Compliance |
| 45 | Request advance account, if needed | A (AIR)** | | R | A (At Risk) ** | | | | |
| 46 | Set up advance accounts in Banner | I | R | A (At Risk); I (AIR) | I | | | | A (AIR): Provost |
| 47 | Negotiation of Agreements | | | | | | | | |
| 48 | Request Agreement review and approval | C | | R | A** | | | | |
| 49 | Negotiation of Award agreements and related NDA's, MTA's, DUA's, etc. | A/R | | C | C | | C | | |
| 50 | Notice of Award, Review, and Acceptance | | | | | | | | |
| 51 | NOA received; PI and College informed; intake assessment completed | A/R | | I | I | | C | | |
| 52 | If award obligation is less than proposed amount, prepare award obligation budget | C | | A | R | C | C | | |
| 53 | If awarded budget is significantly different from the proposal, determine if change of scope, rebudgeting, or cost sharing is required | C | | R | A | | | | |
| 54 | Resolve outstanding compliance matters; Obtain needed internal approvals (e.g. IRB, IACUC, IBC, etc.) | C | | R | A | | | C (any) | |
| 55 | Review the award obligation budget, terms & conditions of the final award | A/R | C | R | R | | C | C (Any) | |
| 56 | Accept terms & conditions of the award on behalf of the University (create AOS) | A/R | | C | I | | | | |
| 57 | Develop management plan for COI/FCOI as needed | I | | R | A/R | | C | C (RC/UCO) | |
| 58 | If required by funding agency, notify funding agency of management plan for COI/FCOI | A/R | | C | R | | | C (RC/UCO) | |
| 59 | Record award information in Coeus/Banner and upload award notice / initial agreement | A/R-Coeus | A/R-Banner | I | I | | | | |
| 60 | Award Set-Up | | | | | | | | |
| 61 | Work with appropriate office to request and approve Professional Service Agreements | C | | A | R | | C | | |
| 62 | Request and approve Companion Account for auditable cost share | | A | I | R | | C | | C: SVPR as applicable |
| 63 | Set up accounts in Banner (subactivities) & issue memo to PI of account setup | I | A/R | I | I | | | | |
| 64 | Identify & Schedule financial report timelines | | A/R | | C | | | | |
| 65 | Identify & Set up receivable milestones & frequency | | A/R | | C | | | | |
| 66 | Input budget into Banner, which triggers input into General Ledger | I | A/R | | C | | | | |
| 67 | Subcontracting Out | | | | | | | | |
| 68 | Request subrecipient agreement | C | | A | R** | | | | |
| 69 | Conduct risk assessment | A/R | C | C | I | | | C (RC) | |
| 70 | Draft agreement and send to subrecipient | A/R | | I | I | | | | |
| 71 | Negotiate terms with subrecipient | A/R | C | C | I | C | C | | |

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| 72 | Review & approve final subaward document | A/R | | I | I | | | | |
| 73 | Establish Purchase Order for subrecipient | A/R | | I | C | | | | |
| 74 | Receive subrecipient's invoice (s) , route for approval, and review for allowability | R | A | I | I | | | | |
| 75 | Review subrecipient's invoice (s) against achievement of project goals/costs in line with sub budget | C | C | R | A | | | | |
| 76 | Coordinate issue resolution with subrecipients (scientific) | I | | A/R | | | | | |
| 77 | Coordinate issue resolution with subrecipients (financial) | C | | A/R | C | | | | |
| 78 | Request amendments, providing revised budgets & SOWs as needed | C | | A | R** | | | | |
| 79 | Draft, negotiate & execute amendments | A/R | | C | C | | R | | |
| 80 | Confirm completion of subrecipient programmatic work | C | | A/R | I | | | | |
| 81 | Collect Subrecipient final reports, & any other close-out info required by funding agency | I | C | A | R | C | | | |
| 82 | Award Management | | | | | | | | |
| 83 | Conduct research & provide programmatic oversight of all award activities | | | A/R | | | | | |
| 84 | Overall responsibility for financial management of award | C | C | A | R | | | C (Any) | |
| 85 | Overall responsibility for financial oversight of award | C | R | A/R | R | | | C (Any) | |
| 86 | Overall responsibility for compliance with non-financial award terms | C | C | A/R | C | | | C (Any) | |
| 87 | Overall responsibility for oversight of non-financial award terms | R | C | I | A | | | C (Any) | |
| 88 | Coordinate administrative issue resolution with funding agencies | A/R | I | C | C | | | | |
| 89 | Coordinate reporting concerns (e.g. late reports) with funding agencies | A/R (all others) | A/R (financial) | C | C | | | | |
| 90 | Initiate prior approval requests (e.g. change of scope, carry forward, additional Subs, no cost extension, rebudget, F&A changes, etc.) | C | | R | A/R** | | | | |

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| 91 | Review and approve prior approval requests (e.g. change of scope, carry forward, additional Subs, no cost extension, rebudget, F&A changes, etc.) | A/R | C | I | R | | | | |
| 92 | Submit Prior Approval to agency if applicable | R | | A | C | | | | |
| 93 | Process award changes in Banner Account | | R | A | C | | | | |
| 94 | File Conflict of Interest Disclosure (COI) on an annual basis | A | | R | C | | | C (Any) | |
| 95 | File Financial Conflict of Interest Disclosure (FCOI) on an annual basis and within 30 days of acquiring new financial interest | C | | R | R | | | A (RC) | |
| 96 | Review award budget & create spending and procurement plan | | | R | A/R | | | | C: Procurement |
| 97 | Generate requisitions for procurement of vendor services | | | R | A/R | | | | C: Procurement |
| 98 | Monitor spend or burn rate (financial projections) | | I | A | R | | | | |
| 99 | Monitor & reconcile balances to prevent under or over expenditure | | I | A | R | | | | |
| 100 | Review award expenditures for allowability, allocability & reasonableness through award & close-out (e.g. PI salary cap, allocation methodology, etc.) | | A | C | R | | | C (RC) | |
| 101 | Retain documentation to support allocation of expenditures | | I | R | A/R | | | | |
| 102 | Cost Transfers: Initiate journal & if needed, complete cost transfer form | | C | A | R | | | | |
| 103 | Cost Transfers: approve under 120 days | | A | R | I | | | | |
| 104 | Cost Transfers: approve over 120 days | | A | R | A/R | | | C (RC) | |
| 105 | Program Income: Identify, manage billing & reporting | C | A | R | C | | | | |
| 106 | Property Management | | | | | | | | |
| 107 | Comply with funding agency property terms | C | I | R | C | | | | A: Accounting/ Property Mgt |
| 108 | Initiate and substantiate request for equipment | | C | R | A | | | | C: Procurement |
| 109 | Request prior approval from funding agency for equipment purchases, when required | A | C | R | C** | | | | |
| 110 | Safeguard and Maintain government & university titled equipment purchases | | I | R | A | | | | C: Procurement |
| 111 | Conduct inventory of all equipment | | C | A | R | | | | R: Property Mgt C: Procurement |
| 112 | Request disposition, move, transfer, or sale of equipment | | C | R | A | | | | |
| 113 | Prepare & submit property reports to funding agency, when required | | R | A | C | | | | C: Procurement |
| 114 | Financial Reporting for all funding agencies | | | | | | | | |
| 115 | Departments notified of upcoming final financial reports | | A/R | I | I | | | | |
| 116 | Final invoices, cost sharing & financial status reports prepared | | R | A | I | | | | |
| 117 | Approve final figures & supporting documentation for cost sharing reporting | | A | C | R | | | | |
| 118 | Submit invoices & financial status reports to funding agencies | | A/R | I | I | | | | |
| 119 | Cash Management | | | | | | | | |
| 120 | Accounts receivable management | | A/R | C | I | | | | |
| 121 | Deposit checks and identify incoming ACH/Wire transfers | | A/R | | | | | | |
| 122 | Post Revenue to fund | | A/R | | | | | | |
| 123 | Request letter of credit draw requests by funding agency and post to GL | | A/R | | | | | | |
| 124 | Monitor & pursue the collections of overdue payments from funding agencies | | A/R | C | I | | | | |

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| 125 | Certification of Time and Effort | | | | | | | | |
| 126 | Review, correct & maintain back-up to support annual certifications | | | R | A/R | | | | |
| 127 | Verify accuracy of effort certification reports | | C | R | A/R | | | | |
| 128 | Initiate necessary adjustments to award charges and/or payroll distribution | | | A | R | | | | C: HR/Payroll |
| 129 | Make sure that certifications required by RF are provided | | I | R | A | | | | |
| 130 | Preparation and Submission of Progress and Technical Reports | | | | | | | | |
| 131 | Allocate program income to accounts | | A/R | | C | | | | |
| 132 | Work with department to determine funding agency process for cash balances | | A/R | I | C | | | | |
| 133 | Refund cash balance, when required by funding agency | | A/R | I | I | | | | |
| 134 | Prepare technical/programmatic reports | C | | A/R | C | | | | |
| 135 | Review progress/technical reports requiring SO approval | A | | R | C | | | | |
| 136 | Submit technical RPPR reports to funding agencies-no SO Approval required | I | | R | A | | | | |
| 137 | Maintain official copies of technical reports in Database | I | | A/R | C | | | | |
| 138 | Report of new technology, patents, inventions or other intellectual property to CRI | I | | A/R | C | C | | | |
| 139 | Submission of invention report through iEdison | | | R | I | A | | | |
| 140 | Review/submission of all patent and invention reports to funding agency, as applicable | A (Submit) | | R | C | A (Review) I (Submit) | | | |
| 141 | Close-Out Process | | | | | | | | |
| 142 | Prepare final technical/programmatic report | | | A/R | C | | | | |
| 143 | Submit final technical/programmatic report to funding agency when SO approval required | A | | R** | I | | | | |
| 144 | Prepare final invention statement, as applicable | | | A/R | C | C | | | |
| 145 | Review/Submit final invention statement, as applicable | R | | A | I** | I | | | |
| 146 | Confirm receipt of all final documents and invoices received from sub recipients as applicable | A | C | R | R | | | | |
| 147 | Identify accounts requiring close-out | | A/R | | I | | | | |
| 148 | Reconcile account to ensure cost sharing commitment has been fulfilled | | A | C | R | | | | |
| 149 | Ensure expenditures/cost transfers have been posted to accounts | | A | I | R | | | | |
| 150 | Resolve issues for unreconciled accounts | | A | C | R | | | | |
| 151 | Approve any write off account receivables | | A/R | I | I | | | | |
| 152 | Collaborate to fund overspent grants | | | I | A/R | | | | |
| 153 | Perform residual balance transfers to accounts if allowed | | A/R | I | C | | | | |
| 154 | Return funds to funding agency when required | | R | | A | | | | |
| 155 | Transfer any interest income | | R | | A | | | | |

