







# OVPR: Research Administration Roles and Responsibilities Matrix

		KEY: P = Primary, S = Secondary, I = Input, O = Oversight																			
		Roles																			
Categ.	Responsibilities	PI/Dept		OVPR - Research Administration											Other	OVPR - Compliance					
		PI	Dept Administrator	Dept Chair / Dean	Pre-Award	AVP for Pre-Award	Post Award Director	Finance Manager	Sr. Grants Analyst	Grants Analyst	A/R Manager	Compliance Manager	Award Setup Specialist	ERS Staff	Special Projects Manag	Legal	IRB	IACUC	IBC	ULAR	COI
	<b>10.00 • Effort Reporting Administration/Management</b>	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
10.01	Notify PI/Dept of upcoming Effort Certification													P							
10.02	Complete effort reporting requirements	P	S										I								
10.03	Collect and maintain official records of effort reporting	S	S	O								O	P								
10.04	Monitor compliance with effort reporting policy	S	S	O								O	P								
10.05	Confirm certified effort is commensurate with actual effort	P	S										O								
	<b>11.00 • Account Closeout</b>	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
11.01	Notify the department of account that is due for closeout							O	P	P											
11.02	Prepare final account reconciliation for award closeout							O	P	P											
11.03	Review final account reconciliation for accuracy and exclusion of unallowable expenses		P					O	O	O											
11.04	Process allowable adjustments or cost transfers	I	P					O	S	S											
11.05	Prepare additional documentation for closeout (property/invention statements)	P	S					I	I												
11.06	Submit the final report/invoice with any additional required documentation to the sponsor							O	P	P											
11.07	Close the account in the financial system							O	P	P											
11.08	Develop No-Cost Extension request	P	S		I			I	I												
11.09	Review No-Cost Extension request				P			I	I	I											
11.10	Submit No-Cost Extension request to sponsor				P																
11.11	Update end date in financial system for approved No-Cost Extension Requests							O	P	P											
	<b>12.00 • Audit</b>	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
12.01	Correspond with external entity regarding audit					O	P							S							
12.02	Prepare Audit response					O	S	I						P							
12.03	Follow-up on corrective actions					O	S	I						P							
12.04	Develop and manage internal audit report					O	S							P							

<sup>1</sup> If NIH carryforward is completed by Post-Award

<sup>2</sup> Dependent on getting a separate A/R lockbox