OVPR: Research AdministrationRoles and Responsibilities Matrix

KEY: P = Primary, S = Secondary, I = Input, O = Oversight
Roles

	Roles and Responsibilities Matrix			t								ies									
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Categ.	Responsibilities	Ы	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	00
1.00	Proposal Drafting and Development	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
	Develop proposal - project concept, scientific portion, scope of work	Р	S																		
	Develop proposal - administrative portion, budget, budget justification	_	Р		S																
1.03	Determine the need for subcontract(s)	Р	S																		
1.04	Develop proposal - subcontracts (LOI, SOW, budget, budget justification, Commitment Form)		Р		S																
	Complete Conflict of Interest documentation	Р	S		0																T
1.06	Enter data into ERA	ı	Р																		
1.07	Enforce internal submission deadlines		S	0	Р																
2.00	Proposal Review and Submission	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
	Review proposal information		S		Р																
2.02	Revise/correct proposal based on review	ı	Р		S																
2.03	Submit proposal to sponsor				Р																
2.04	Prepare JIT information (Other Support, IRB approval, IACUC approval)	Р	S																- 1	-	
2.05	Review JIT information		S		Р														- 1	- 1	
2.06	Revise/correct JIT information based on review	I	Р		S																
2.07	Submit JIT information to sponsor				Р																
	Contrac Negotiation (Incoming and Outgoing Agreements)	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
	Receive award notice	S	S		Р																
3.02	Determine risk level of outgoing subawards				Р																
	Negotiate award terms and conditions with sponsor				Р											- 1					
3.04	Review final award stipulations for execution				Р																
	Sign award as Institutional Official					Р															
	Initiate the preparation of a subcontract	-	Р																		
	Develop subcontract agreement				Р																
	Review subcontract compliance information (IRB, IACUC, COI)				Р																
	Negotiate subcontract terms and conditions with subrecipient				Р	0															
	Send subcontract to subrecipient for review and approval				Р																
	Receive partially-signed subcontract and review final stipulations				Р																
	Sign subcontract as Institutional Official					Р															
3.13	Post executed subcontract to Imaging				Р																

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Categ. Responsibilities	ā	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 Manage	Legal	IRB	IACUC	IBC	ULAR	100	
4.00 • Non-Competing Continuation Applications/Progress Reports	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*	
4.01 Develop application / progress report for non-competing continuation	Р	S		-																	
4.02 Review application / progress report for non-competing continuation	1	S		Р																	
4.03 Complete compliance information (IRB, IACUC, COI)	Р	S														- 1					
4.04 Review compliance information (IRB, IACUC, COI)	ı	S		Р												-		-	- 1		
4.05 Submit application / progress report for non-competing continuation				Р																	
4.06 Determine the need for new/modified subcontract	Р	S		0																	
4.08 Prepare subcontract documentation and move forward with subcontract negotiation	1	S		Р																	
4.09 Develop carryforward request for approval	Р	S		0					- 1												
4.10 Review/approve carryforward request				Р																	
4.11 Submit carryforward request to sponsor				Р					S ¹												
5.00 • Account Set-Up	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*	
5.01 Request Advance Account requests	Р	I	0																		
5.02 Review/approve Advance Account requests				Р	0																
5.03 Revise budget based on award amount dependent on budget threshold, including carryforward		Р		0																	
5.04 Confirm compliance approvals are in place (IRB, IACUC, COI)	- 1	S		Р												- 1	- 1	- 1	- 1		
5.05 Enter award data into ERA				Р																	
5.06 Enter outgoing subcontract data into ERA				Р																	
5.07 Post and transmit all award notice/documentation to Imaging when setup documents are complete				Р																	
5.08 Review award documentation for account set-up											0	Р									
5.09 Assign a Grant Number in Banner											0	Р									
5.10 Set up the Budget in Banner											0	Р									
5.11 Establish documentation of new award		S									0	Р									
5.12 Follow up to ensure all steps are completed on a timely basis		S			0						Р										
6.00 • Financial Reporting	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*	
6.01 Prepare FSR/FFRs based on sponsor requirements	I	S					0	Р	Р												
6.02 Review FSR/FFRs (including Final FSR/FFR) for completeness and accuracy							Р	Р	Р												
6.03 Sign FSR/FFRs as Institutional Official					0	S	Р	Р													
6.04 Submit FSR/FFRs to sponsor							0	Р	Р												

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		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 Manage	Award Setup Specialist	ERS Staff	Special Projects Manag	Legal	IRB	IACUC	IBC	ULAR	CO
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		ept)ep		Ā	st A	Fine	ن	·		ildi	i Se		I P						
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Categ. Responsibilities												Α̈́		Spe						
7.00 • Invoicing	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
7.01 Generate invoices from Banner						0	0	Р	Р											
7.02 Prepare invoices based on sponsor defined template(s) or milestone		S						Р	Р											
7.03 Review invoices (including Final invoice) for completeness and accuracy							Р	Р	Р											
7.04 Sign interim invoices					0		0	Р	Р											
7.05 Sign final invoices					0		O/P	Р	Р											
7.06 Submit invoices to the sponsor for payment								Р	Р											
7.07 Retain a copy of invoices for institutional record								Р	Р											
8.00 • Other Cash Management	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
8.01 Conduct the LOC draw for all applicable balances						S	Р													
8.02 Complete the NIH/NSF Quarterly Reports														Р						
8.03 Manage/collect invoice payments for Accounts Receivable										Р	Р									
8.04 Apply payments to AR balances in the financial system										S	Р									
8.05 Cash checks from sponsors										S²	P ^z									
8.06 Continuously monitor outstanding AR, especially aged receivable balances					0	0			- 1	Р										
8.07 Contact sponsors to accelerate payment when necessary	ı	ı								Р	Р									
8.08 Evaluate candidates for bad debt write-off					0					Р										
9.00 • Financial Compliance (Expenditure Monitoring, Oversight, Transaction Review)	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
9.01 Prepare documentation and justification for cost transfers	ı	Р	0																	
9.02 Review/approve cost transfer requests							Р													
9.03 Communicate with subrecipients to monitor performance	Р																		_	
9.04 Perform ad-hoc audits of high-risk subrecipients				Р	_														_	
9.05 Review corrective action plans for subrecipients				Р	0						ı								_	
				_	_															
9.06 Internally communicate the results of subrecipient audit findings or corrective actions				Р	0															
9.07 Identify subrecipients that pose a risk per audit findings				Р	0														\blacksquare	
9.08 Pre-qualify subrecipients with a review of Single Audit in the federal clearinghouse				Р	0															
9.09 Review subinvoices and follow-up with any issues before approving for payment	I	Р																		
9.10 Approve and process subinvoices for payment		Р				Р	Р													
9.11 Ensure performance goals are achieved by subrecipient	Р	S																		
9.12 Ensure subinvoices (including final) are received	S	Р																		
9.13 Maintain documentation of submonitoring efforts	Р	S		S																
9.14 Ensure all subinvoice charges are entered appropriately		Р							S											

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Roles and Responsibilities Matrix	Roles OVER Process Administration Other OVER Compliance																			
Notes and Responsibilities matrix		PI/De _l	pt	OVPR - Research Administration Other OVPR - Compliance														2		
Categ. Responsibilities	Id	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 Manage	Legal	IRB	IACUC	IBC	ULAR	100
10.00 • Effort Reporting Administration/Management	*	*	*	*	*	*	*	*	*	*	*		*		*	*	*	*	*	*
10.01 Notify PI/Dept of upcoming Effort Certification													Р							
10.02 Complete effort reporting requirements	Р	S																		
10.03 Collect and maintain official records of effort reporting	S	S	0								0		Р							
10.04 Monitor compliance with effort reporting policy	S	S	0								0		Р							
10.05 Confirm certified effort is commensurate with actual effort	Р	S											0							
11.00 • Account Closeout	*	*	*	*	*	*	*	*	*	*	*		*		*	*	*	*	*	*
11.01 Notify the department of account that is due for closeout							0	Р	Р											
11.02 Prepare final account reconciliation for award closeout							0	Р	Р											
11.03 Review final account reconciliation for accuracy and exclusion of unallowable expenses		Р					0	0	0											
11.04 Process allowable adjustments or cost transfers	1	Р					0	S	S											
11.05 Prepare additional documentation for closeout (property/invention statements)	Р	S																		
11.06 Submit the final report/invoice with any additional required documentation to the sponsor							0	Р	Р											
11.07 Close the account in the financial system							0	Р	Р											
11.08 Develop No-Cost Extension request	Р	S		I				-												
11.09 Review No-Cost Extension request				Р				- 1												
11.10 Submit No-Cost Extension request to sponsor				Р																
11.11 Update end date in financial system for approved No-Cost Extension Requests							0	Р	Р											
12.00 • Audit	*	*	*	*	*	*	*	*	*	*	*		*	*	*	*	*	*	*	*
12.01 Correspond with external entity regarding audit					0	Р								S						
12.02 Prepare Audit response					0	S								Р						
12.03 Follow-up on corrective actions					0	S								Р						
12.04 Develop and manage internal audit report					0	S								Р						

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¹ If NIH carryforward is completed by Post-Award

² Dependent on getting a separate A/R lockbox