

	A	B	C	D	E	F	G	H	I
1	University 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	NU-RES Administration (RA)	NU-RES Finance (RF)	Principal Investigator (PI)	College/ Department	CRI	OGC	Research Compliance Offices: ORC, IRB, IACUC, IBC, etc.	Other Offices
11									
12	Interpreting Funding Opportunities								
13	Obtain potential funding opportunities			A/R	C				C: Research Dev
14	Assist PI 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	
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								
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	
31	Review & confirm potential institutional approvals stated in proposal (e.g. IRB, IACUC, IBC)	A		R	I			C	
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

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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	
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	I: Compliance
44	Confirm if COI/FCOI needs to be reported to funding agency	A		C	R			C	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	Receive NOA; inform PI and College; complete intake assessment	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	
55	Review the award obligation budget, terms & conditions of the final award	A/R	C	R	R		C	C	
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	RC: C	
58	If required by funding agency, notify funding agency of management plan for COI/FCOI	A/R		C	R			RC: C	
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		
72	Review & approve final subaward document	A/R		I	I				

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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	
85	Overall responsibility for financial oversight of award	C	R	A/R	R			C	
86	Overall responsibility for compliance with non-financial award terms	C	C	A/R	C			C	
87	Overall responsibility for oversight of non-financial award terms	R	C	I	A			C	
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**				
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	
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	
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	
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**				

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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	Notify departments of upcoming final financial reports		A/R	I	I				
116	Prepare final invoices, cost sharing & financial status reports		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				
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 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				

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150	Resolve issues for unreconciled accounts		A	C	R				
151	Approve any write off account receivables		A/R	I	I				
152	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				
156	Inactivate award account(s)		A/R	I	I				
157	Single Audit / Uniform Guidance								
158	Coordinate the Single Audit under Uniform Guidance		A/R					C & I: RC	
159	Respond to auditors' transactional requests, complete the audit questionnaire & participate in any audit interview with the PI	C	A/R	C	C			C & I: RC	
160	Special Considerations for Federal Contracts								
161	Complete Small Business Plan, when required (Contracts in excess of 650K)	A		R	C				C: Procurement
162	Complete Small Business Plan financial report SF294 and SF295	C	A	R	C				
163	Coordinate e-Verify process with HR	A		R	C			C: RC	
164	When FISMA is included, work with IS to develop a security plan when required by the RFP or resulting contract, including addressing potential additional costs	C		R	I		C	I	A: ITS
165	When NIST is included, work with IS to develop a security plan when required by the RFP or resulting contract, including addressing potential additional costs	C		R	I		C	I	A: ITS