

Sponsored Program Administration Responsibilities Matrix

Activity	Role Played by:			Central Administration
	Principal Investigator	Department	Unit	
Pre-Award Activities:				
1. Identification of funding sources	P			X-SPD
2. Understand and agree to Grantor proposal rules and guidelines	P			X-OGM/OIC
3. Calculate and finalize Service Center recharge rates		P		X-OC
4. Approve Service Center recharge rates				P-OC
5. Identify and request on- or off-campus space needed in addition to that already assigned to the PI	P	X		
6. Development of proposal budget, ensuring costs are allowable, reasonable, allocable and consistent	P	X		X-OGM/OIC
7. Composition of the "science" of the proposal	P			
8. Develop proposal for submission	P			
9. Prepare the appropriate forms from the IRB, IACUC, Biosafety committee, etc...	P	X		
10. Review proposal to ensure unit rules are followed			P	
11. Review proposal for institutional assurances, ensure quality of proposal		P		X-OGM/OIC
12. Confirm that matching funds and cost sharing is documented and approved.		P		
13. Approve proposal on behalf of institution				P-OGM/OIC
14. Make necessary copies of proposal	P	X		
15. Submit proposal to grantor--hard copy	P	X		
16. Submit proposal to grantor--electronic	X			P-OGM/OIC
17. Forward copy of submitted proposal to OGM/OIC	P	X		
18. Update institutional grants management system				P-OGM/OIC
19. Request a preaward account be established	P	X		
20. Review and approve/the guarantee of pre-award request		P		
21. Approve and establish account in response to pre-award request				P-OGM/OIC
22. Accept/Negotiate award terms and conditions	X			P-OGM/OIC
Post-Award Activities:				
23. Establish and amend grants in PS-Financials				P-OGM/OIC

KEY:
P-Primary Responsibility
X-Secondary Responsibility

OGM-Office of Grants Management
OIC-Office of Industry Contracts
OC-Office of the Controller

OTD-Office of Tech. Develop.
RIP-Research Integrity Prog.
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24. Finalize budget for award	P			X-OGM/OIC
25. Load budget into grants module and PS-Financials				P-OGM/OIC
26. Approve for processing only allowable transaction	P	X		
27. Process personnel documents to allocate charges	P	X		
28. Process non-personnel expenditure documents	P	X		
29. Subcontracting activities including:				
> Initiate/develop/execute subcontract	X			P-OGM/OIC
> Request PO to encumber subcontract	P	X		
> Monitor work of subcontractor(s)	P	X		P-OC
> Receive and process subcontract invoices	P	X		X-OC
> Close-out subcontract	X			P-OC
30. Initiate material transfer agreements				
31. Prepare programmatic/scientific progress reports	P			
32. Disclose invention information	P			
33. Provide invention disclosure and patent application progress reports	P	X		X-OTD
34. Monitor budget vs. expense	P	X		
35. Monitor and resolve cash and/or budget deficits	P	X		
36. Monitor and remove any unallowable transactions	P	X		
37. Initiate/request expense transfer	P	X		
38. Approve and process expense transfer <90 days				P-OC
39. Approve and process expense transfer > 90 days				P-OGM/OIC
40. Revenue management including:				
> Preparation/submission of financial status reports	X			P-OC
> Preparation/submission of invoices or periodic billing	X			P-OC
> Account receivable follow-up	X			P-OC
> Receipt and deposit of checks/fund transfers for awards		X		P-OC
> Preparation of letter-of-credit draws				P-OC
41. Initiate request for modification, change to award	P			
42. Properly identify and report program income	P	X		
43. Process request to sponsor for project modifications/approvals, such as no-cost time extensions, funds carryover				P-OGM/OIC

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44. Close-out activities including:				
> Financial Reporting/Invoicing	X			P-OC
> Programmatic Reports	P			
> Intellectual Property Reports	P			P-OGM/OIC
> Fixed Asset/Property Reports		X		P-OC
> Request authorization to close award and retain residual funds from sponsor	P	X		X-OC
Compliance Issues				
45. Comply with Effort Reporting requirements				
> Distribute and collect effort reports		X		P-OC
> Review and certify, as appropriate, committed effort through effort reports	P	X		
> Correct effort variances uncovered by effort reporting		P		
46. Provide education/training in the responsible conduct of research				P-RIP
47. Identify potential or actual conflicts of interest	P	X	X	
48. Adhere to environmental health and safety requirements	P	X		
49. Meet protocol review requirements and assist with inspections	P	X		

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