

Responsibility Matrix

	PI	Dept	Dean (depending on DEPT)	SPA	Other Offices	Research Finance
Ongoing Training						
Remain current regarding changes to policies and regulations	P	P	P	P		P
Provide training opportunities to the research community regarding policies and regulations		S		P		P
Identification of Funding Opportunities						
Search for opportunities	P	S	S		S-OVPR S-DAR	
Provide guidance on funding opportunities		S	S	P	S-OVPR S-DAR	S
Proposal Preparation						
Write technical narrative	P					
Identify subcontractors/sub awardee	P					
Works with subcontractor to develop Budget and Statement of work	S	P				
Develop Budget and Budget Justification	P	S				
Identify need for Cost Sharing funds	P	S				
Approving Cost Sharing requests		S	P	S		S
Evaluate requests for F&A waivers or reductions		S	P	S		S
Coordinate space arrangements		S	P			
Provide expert guidance on proposal preparation		S	S	P	S-OVPR	
Route completed proposal for approval in pre-award system		P	S			
Approve completed proposal in pre-award system for submission to sponsor	S	S	S	P		
Request when applicable Small Business Subcontracting Plan	P	S	S	S	S-Purchasing	

Legend

P= Primary

S= Support

Regulatory Requirements						
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional Bio Safety Department, Dept. of Health and Safety, Export Compliance review	P	S			S-OVPR	
Complete conflict of interest disclosure form	P	S		S		
Review conflict of interest disclosure form and facilitate institutional oversight		P	S		S-OGC-COI	
Ensure that protocols and approvals for regulatory compliance requirements are kept current throughout the life of the project as required	P	S		S	S-OVPR/ applicable regulatory compliance committee(s)	S
Proposal Review and Approval						
Confirm that proposal meets sponsor requirements (text, margins, font, etc.)	P	S	S	S		
Review proposal before sending proposal to Sponsored Programs	S	P	S			
Verify cost share and waiver approvals in place				P		
Verify that mandatory cost sharing is included	P	S	S	S		
Review proposed cost sharing for appropriateness	S	P	S			
Review proposed cost sharing for compliance with sponsor guidelines				P		
Programmatic review of proposal and certify/approve proposal in pre-award system	P	S	S			
Provide institutional technical review and final approval of proposal				P		
Proposal Submission						
Send proposal to sponsors after institutional approval	S	S		P		

Award Acceptance						
Accept sponsor notification of grant or contract award	S			P		
Review terms and conditions	S	S		P		S
Provide feedback on nonstandard terms and conditions when applicable	S	S		P	S - OGC S- CTTC	S
Negotiate terms and conditions with sponsor	S	S	S	P		S
Approve award terms and conditions	S	S	S	P		S
Pre-award Spending						
Obtain sponsor approval for pre-award spending	S	S		P		
Request advance account (interim project) for pre-award spending		P				
Consider appropriateness of advance account request and approves request			P			S
Establish interim advance account #						P
Monitor interim advance account #		P				S
Award Set-Up						
Confirm that regulatory compliance requirements have been met before set-up	S	S		P	S-OVPR, S-OGC-COI, S-VUIT	S
Modify proposed budget	P	S		S		S
Ensure that cost sharing is documented (if applicable)	S	S				P
Request award account		P	S			
Set-up award account						P
Notify PI of award account		S				P
Subcontracts/Subawards						
Oversee programmatic aspects of subcontract/subaward	P					
Prepare, negotiate, and sign subcontracts/subawards	S	S		P		

Review and approve subcontract/subaward invoices for programtic compliance	P	S				
Review and approve subcontract/subaward invoices for financial compliance						P
Subrecipient monitoring	S	P		S		S
Submit subaward amendment requests to SPA	S	P		S		
Pay subcontract invoices approved by department					P-Accounts Payable	
Conducting the Project						
Prepare personnel transactions	P	S				
Initiate purchases on project	S	P				
Review and approve financial transactions (thresholds incl.)		P	S		S-Purchasing	
Initiate retroactive cost transfer (RCT) (in accordance with policy)		S	P			
Review and process retroactive cost transfer (RCT) (in accordance with policy)						P
Initiate requests for changes to project (scope of work, PI change, re-budgeting, no cost extension, etc.)	P	S	S			
Review and approve changes to project (scope of work, PI change, re-budgeting, no cost extension, etc.) or forward to sponsor for approval.			S	P	S- OVPR	S
Use financial reports to monitor and oversee expenditures	S	P				S
Monitor/reconcile expense accounts on a monthly basis	S	P				
Coordinate resolution of issues on oversight reports.	S	P				S
Audit expenditures		S				P
Ensure internal regulatory compliance offices are notified of changes to project	P	S				
Review and approve MTAs	S	S			P-CTTC	

Review and approve Non-disclosure Agreements related to research	S	S		P		
Review and approve Data Use Agreements				P	S-VUIT	
Complete invention disclosure form	P			S	S-CTTC	
Ensure integrity and retention of notebooks and data	P					
Program Income						
Identify program income	P					S
Invoice program income		P				
Receive and deposit program income						P
Identify use and reportability of program income						P
Monitor program income levels	S	P				S
Invoicing and Financial Reporting						
Prepare and submit the invoice or financial report	S	S				P
Accounts Receivable Management						
Receive and deposit payments from sponsors						P
Produce and record a letter of credit draw request (federal awards)						P
Monitor and pursue the collections of overdue payments from sponsors	S	S				P
Technical Reports						
Ensure integrity of all research data	P					
Prepare and submit technical reports to sponsor	P	S		S		
Maintain the official copy of the technical report	P	S				
Personnel and Effort Certification						
Initiate hiring and appointment process	P	S				
Identify and initiate any screenings required (e-Verify, foreign visitor screening)	S	P			S-OVPR	
Maintain the effort certification database and reporting system.						P
Certify effort in a timely manner	P					
Complete necessary adjustments to award charges and/or payroll distribution		P				

Ensure accuracy of completed effort certification reports	P	S				
Resolve problems or follow up on certifications not submitted		P	S			S
Project End and Closeout						
Identify and communicate early close-out situations	P	S				S
Ensure all appropriate expenditures have been posted to accounts	S	P				S
Prepare final financial invoice/report		S				P
Approve final financial invoice/report	S	P				
Resolve issues related to unreconciled accounts		P				S
Ensure that all financial invoices/report have been submitted to sponsor	S	S				P
Ensure that all technical reports have been submitted to sponsor	P	S		S		
Ensure that all final invention reports have been submitted to sponsor	P	S		S	S - CTTC	
Ensure that all patent reports have been submitted to sponsor	P	S		S	S - CTTC	
Inactivate award account(s) in financial accounting system						P
Maintain official project documents for sponsored projects				P		
Audits						
Point of contact liaison for all sponsored audits					S-ARC	P
Coordinate the Single audit for the University						P
Provide support and/or source documentation as requested by auditors		S	S			P
Intellectual Property						
Evaluate commercial viability of University IP					P-CTTC	
Disclose IP to CTTC, complete Invention Disclosure Forms	P	S				
Create or launch new ventures	P				P-CTTC	

Market, negotiate and enter into license agreements for University IP					P-CTTC	
Draft and/or negotiate IP terms for all sponsored research agreements				P	S-CTTC	
Interpret IP policy					P-CTTC S-OGC	
Report Federally funded inventions to government					P-CTTC	
Receive Royalty Income and Process Distribution					P-CTTC	
Provide oversight of patent prosecution					P-CTTC	

Please note: The matrix above reflects the institutional requirements related to the grant lifecycle. Some departments may require additional approvals or alternate workflows for completing each task. Please consult with your departmental administrators to identify any additional requirements.