

## SPONSORED PROJECTS ROLES AND RESPONSIBILITIES MATRIX

PI: PRINCIPAL INVESTIGATOR

OSP: OFFICE OF SPONSORED PROJECTS

SCA: OFFICE OF SPONSORED AND COST ACCOUNTING

Tasks	PI	Dept	Dean	OSP	SCA
<b>Proposal Preparation</b>					
Write technical narrative	X				
Identify subcontractors and request budget and statement of work	X				
Develop budget and budget justification	X	X			
Identify need for cost sharing funds	X				
Provides approval of cost sharing requests		X	X	X	
Evaluate requests for F&A waivers or reductions		X	X	X	
Coordinate space arrangements		X	X		
Provide expert guidance on proposal preparation				X	
Complete InfoEd and route proposal for approval	X	X			
<b>Regulatory Requirements</b>					
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional Biosafety Committee	X	X			
Complete conflict of interest disclosure form	X				
Review conflict of interest disclosure form and facilitate institutional oversight		X	X		
<b>Proposal Review and Approval</b>					
Confirm that proposal meets sponsor requirements (text, margins, font, etc.)	X			X	
Review proposal before sending proposal to Sponsored Programs		X	X		
Verify that mandatory cost sharing is captured	X	X	X	X	
Review proposed cost sharing for appropriateness		X	X	X	
Programmatic review of proposal and certify/approve proposal in InfoEd	X	X	X		
Provide institutional review and final approval of proposal				X	
<b>Proposal Submission</b>					
Send proposal to sponsors after institutional approval				X	
<b>Pre-Award</b>					
Request advance account	X				
Consider appropriateness of Dean's Pledge account request and approves request		X	X		
Establish Dean's Pledge account				X	
Monitor Dean's Pledge account		X		X	
<b>Award Acceptance</b>					
Accept sponsor notification of grant or contract award				X	
Review terms and conditions	X			X	
Negotiate terms and conditions with sponsor				X	
Approve award terms and conditions				X	
<b>Award Set-Up</b>					
Confirm that regulatory compliance requirements have been met				X	

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Modify proposed budget	X	X		X	
Prepare award documents				X	
Ensure that cost sharing is documented (if applicable)				X	
Establish award in PeopleSoft Financials				X	
Establish Chartfield String in Peoplesoft Human Resources				X	
Notify PI and applicable personnel of new Chartfield String				X	
<b>Conducting the Project</b>					
Prepare personnel transactions		X			
Initiate purchases on project	X	X			
Initiate prior approvals for changes to project (description, PI, etc.)	X	X			
Review and approve changes to project (or forward to sponsor)				X	
Initiate re-budgeting requests	X	X			
Approve re-budgeting requests (or forward to sponsor)				X	
Initiate no cost time extensions	X	X			
Approve no cost extensions (or forward to sponsor)				X	
Use financial reports to monitor and oversee expenditures	X	X		X	
Reconcile accounts on a monthly basis	X	X			
Coordinate resolution of issues on oversight reports				X	
Approve expenses on project using cost principles for educational institutions (2 CFR 200 - Uniform Guidance)				X	
Audit expenditures				X	
Approve or forward to sponsor prior approvals for changes to project (including subaward not included in sponsor approved budget)				X	
Ensure regulatory compliance offices are notified of changes to project	X				
Notify OSP of changes in effort for PIs, Co-PIs	X	X			
Review and approve incoming MTAs and Non-disclosure Agreements				X	
Complete invention disclosure form	X			X	
Ensure integrity of notebooks and data	X				
<b>Invoicing and Financial Reporting</b>					
Review award for billing terms and reporting requirements					X
Prepare and submit invoices and/or financial reports					X
Obtain cost share reports from OSP for invoicing or reporting					X
Post fund 500 related journal entries to Peoplesoft (after OSP approval)					X
Use financial reports for audits					X
<b>Accounts Receivable Management</b>					
Receive and deposit payments from sponsors					X
Produce and record a letter of credit draw request (federal awards)					X

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Monitor and pursue the collections of overdue payments from sponsors					X
<b>Subcontracts/Subawards</b>					
Oversee programmatic aspects of subcontract/subaward	X				
Prepare, negotiate, and sign subcontracts/subawards				X	
Review and approve subcontract/subaward invoices	X	X		X	
Subrecipient monitoring	X	X		X	
<b>Technical Reports</b>					
Prepare and submit technical reports to sponsor	X			X	
Maintain the official copy of the technical report	X				
<b>Personnel and Effort Certification</b>					
Initiate hiring and appointment process	X				
Maintain the effort certification database and reporting system					1
Complete necessary adjustments to award charges and/or payroll distribution		X			
Obtain necessary supervisory reviews and approvals		X			
Ensure accuracy of completed effort certification reports	X	X			
Resolve problems or follow up on certifications not submitted	X	X			X
<b>Project End and Closeout</b>					
Identify early close-out situations	X	X		X	
Verify final invoice expenditures	X	X		X	
Prepare final financial invoice/report					X
Approve final financial invoice/report	X	X			x
Resolve issues related to unreconciled accounts					X
Ensure that all financial reports have been submitted to sponsor					X
Ensure that all technical reports have been submitted to sponsor	X			X	
Ensure that all final invention reports have been submitted to sponsor				X	
Ensure that all patent reports have been submitted to sponsor				X	
Inactivate award account(s) in financial accounting system					X
Maintain official financial reports and audit documents					X

1 – Managed by Payroll Department in Controller's Office