

Office for Sponsored Programs
ROLES AND RESPONSIBILITIES MATRIX

Task	Principal Investigator	Department / Service Center	OSP	PRE	POST	VPR (includes ORP)
PROPOSAL PREPARATION						
Funding Opportunities	May make use of funding databases and other sources	Supports PI's in funding searches		Shares announcements and helps PI's with custom searches		
Proposal Preparation	Develops proposal and budget	Assists the PI with Proposal Preparation, per established department practice.		Provides guidance and assistance to the PI and their administrator		
Proposal Transmittal Form	Provides information to their admin for completion	Completes form online and assist PI's & OSP in ensuring the form has completed the routing process.		Review for compliance and research issues/needs		Requires sign off on special circumstances, i.e. F&A waivers, space, etc.
Conflict of Interest Form	Provides disclosures	Makes sure that PI's complete the form with the PTF		Reviews for disclosures		
Proposal Review and Approval				Reviews for completeness and compliance with sponsor and university policies and guidelines		
IACUC & IRB Approvals	<p>-Submits protocols and works with appropriate committee for approval</p> <p>-Identifies protocols attached to sponsored project and provides information to Service Center and OSP</p>	Works with PI to ensure all necessary approvals are obtained, in accordance with established departmental procedures, and that costs associated with active protocols are appropriately charged		<p>-Follows up to see that approvals are in place before work begins on awards</p> <p>-Works with appropriate committee administrator to ensure protocols are active and appropriately attributed to sponsored award</p>	Post award will check the file on record for a copy of the protocol when the expense processes through OSP	<p>ORP reviews protocol</p> <p>ORP works with PI on Protocol revisions needed</p> <p>ORP sends copy of approved Protocol to PI and OSP for file</p>

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Compliance		Maintains knowledge of regulatory requirements in order to provide day to day guidance to PI's.	Keeps abreast of regulatory changes; Implements policy procedures in response to changes; Shares with research community			
Cost Share Process	Determines need and requests cost share support	Helps in acquiring appropriate signatures for cost share approval Provides the appropriate chart string to charge cost share; Tracks expenses to insure that cost share is met each year		When award is made OSP works with appropriate departments to set up the cost share chart string; Annually OSP will circulate a new authorization form at the project anniversary and the end of the fiscal year.		Review and Approve commitment
University Certifications				Manages and completes various certifications on behalf of university		
Proposal Creation in PS				Enter proposals into the PS system		
Negotiation of T&C's	Works with technical counterpart to help reach consensus when necessary			-The primary contact on grant and contract negotiation -Keep PI's notified of negotiation progress and issues		
Industry Contracts	Works with technical counterpart to help reach consensus when necessary			Negotiation lead Works with other university offices (OTTL, GC,) to work out contractual issues		
Liaise w/Sponsors	Interacts with technical officer when necessary			Primary contact on all sponsored awards	Primary contact for billing/ financial reporting issues	

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Sponsor ERA Systems	Electronic submission of proposals and or reports as required by sponsor	Work with PI on electronic proposal preparation and electronic report submission where PI is required to submit online	Keeps abreast of all sponsor related electronic systems Trains community as necessary			
AWARD ADMINISTRATION						
Award Set up and Updates	Forwards award information and modifications to OSP	Keeps track of PI active projects; Follow up with OSP Pre Award if award is not active/updated as anticipated.		-Assigns Project numbers and "activates" awards in PS system -Updates(increases, decreases, budgetary changes in PS) - Inputs non-financial milestones - Sends PAN to PI/Dept	Input/update financial milestones and add any non standard billing milestones	
Subcontract Development & Negotiation	Approves subcontract paperwork (reports, invoices). Monitors subcontractor's work and approves invoices	In consultation with PI, Submits SubAward forms to initiate subcontract process/modification	Risk Assessment	Drafts subcontract documentation based upon Subaward docs submitted by PI/Dept	Requests A-133 reports from Sub Awardees	
Change in Scope	-Notifies OSP if there is a change -Works with administrator to provide justification for sponsor approval	Works with PI to draft justification of change and provides it to OSP		-Works with PI to determine if there is a change in scope -Notifies sponsor for change approval		
Change in PI		With Dean's Office approval, works with new PI in obtaining supporting documentation as requested by OSP		Notifies sponsor and request approval for PI change		

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Supplemental Funding Requests	PI prepares supplemental funding proposal	Works with PI to prepare proposal		OSP signs off and submits request to sponsor		
Pre-award Costs	-Provides supporting documentation that an award will be made -works with admin to determine funds needed	Works with PI to complete the Advanced Account paperwork, including obtaining approvals and providing chartstring		-Reviews for request appropriateness -Activates the account -Reviews Advanced Accounts monthly		
No-cost Extension	Notifies OSP pre-award and/or Dept Admin of need for no-cost ext	Works with PI to determine need for no-cost ext, Notify pre-award, revise budget and provide supporting documentation to OSP per sponsor terms and conditions		-Processes extension -Notifies PI and department of approval via email	Update Financial & Billing Milestones as needed	
Carry-forward Requests	-Works with admin to forecast the expected carry-forward amount -Informs OSP pre-award of need	-Works with PI and OSP to determine amount of carry forward -Rebudgets approved carry forward accordingly with PI concurrence		Processes carry-forward & updates budget accordingly -Requests approval from sponsor when required		
Rebudgeting requiring Sponsor approval	-Works with admin to determine need and revise budget -Informs OSP	-Works with PI to determine need -Provides revised budget and justification		-Reviews for appropriateness -Requests approval from sponsor	Process Budget Transfer once approval is obtained	

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PI Grant Transfers (In/Out)	Works with OSP and admin to provide supporting documentation and information needed to effect transfer(s)	Works with PI to provide paperwork, forecast costs, equipment, effective dates of transfer, resolve human resources issues Notifies OSP of PI hire/termination		-Coordinates with PI, Dept, Service Center, transferring institution and sponsor -Processes paperwork to sponsor and transferring institution	Confirm final financials for relinquishing letters - Prepares any required Financial Reports	
Reporting	Submits technical reports to sponsor	Maintains an understanding of the reporting schedules on sponsored projects; Assists PI as necessary in preparing reports		Coordinates information with PI & Service Center, & OTTL as necessary Sends out report reminders	Submits financial reports	
Closeout	Receive project end date email from OSP. Review with DA, and contact pre award if a NCE will be requested, etc.. Prepare technical reports	Receive project end date email from OSP. Review with PI, and contact pre award if a NCE will be requested, etc.. If project is truly ending work with the PI to complete the checklist so the project can be closed out accurately, completely and timely. Ensures PI submits technical reports Confirm all expenses on ACR are final		Coordinates the acquisition of closeout documentation as required by sponsors Submits Final Patent and Property reports	Review grants ending within portfolio; check milestones; if none listed check folder Changes project status from O to A to R to D Submits final financial report Completes all contractually required financial documents	

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Policy (Development, Revision, Implementation)		Learns about changes and works to implement them within university guidelines Provide guidance to PI's	-Keeps abreast of regulatory changes -Works with the appropriate university offices (Research Compliance, OGC, etc.) to develop policy -Communicate and educate community on changes			
Process Checks and Wires	Forwards checks to OSP for processing	-Forwards checks to OSP for processing			-Processes all sponsor payments and applies them to the appropriate sponsored project	
Authorize Access in People Soft	Identifies individuals whom should have access to their sponsored award	Works with PI to complete the authorization form in accordance with established departmental policy		Provides access to members of project team		
TRANSACTIONAL ACTIVITY						
Payroll Inquiries	Initiate and approve	Originate request with appropriate documentation			Review/Approve	
Review and Approve Procurement Inquiries	Initiate and approve	Originate request with appropriate documentation			Review/Approve	
Budget Transfers	Initiate and approve	Originate request with appropriate documentation including justification			Review/Approve	
Cost Transfers & Labor Redistribution	Initiate and approve	Evaluate when journals are necessary; originate paperwork, including appropriate documentation and justification, obtain required approvals, submit to OSP. Verify when done.			Review documentation; check the budget for available dollar amounts and check to see that the charge falls within the scope of the work and budget period. If ok create a journal in the general ledger.	

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Invoicing and Drawdowns					Post Award will invoice and drawdown per sponsor requirements	
Subrecipient Monitoring	Receives, Reviews and Signs invoices indicating the work satisfactory and is progressing at an acceptable pace.	Reviews for appropriateness of charges. Sends signed invoice to purchasing for processing and a signed copy to OSP		Pre-award gathers the appropriate information at the proposal stage.	Post Award reviews invoices for PI signature	
Monthly Expenditure Review	Provide additional justification if necessary	Dept pulls together supporting documentation that would indicate the benefit to the project for selected transactions			Post Award reviews documentation from a sample of transactions under 1K to confirm that documentation is sufficient to support that the expense is reasonable, allowable and allocable to the grant and will benefit the project within the project period.	
Financial Reporting		Works with OSP to reconcile accounts			OSP prepares all final financial reports per sponsor requirements	
Internal Reporting		In accordance with individual departmental practices			OSP Systems Mgr prepares	Reviews
Effort Reporting	Having first hand knowledge of the project, the PI reviews, updates if necessary, and certifies effort report	Review, update if necessary, obtain PI certification and return to OSP			HRIT sends to OSP who forwards to PI and Dept Admin	

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A-133 Audit	Participate in interviews if necessary.	Assist with supplying any department level information as requested			Works with auditors	Oversight
Internal Audits	Participate in interviews if necessary.	Assist with supplying any additional information requested	work with Internal Audit Dept			
Agency Specific Audits	Participate in interviews if necessary.	Assist with supplying any additional information requested	Work with Agency			
FFATA Reporting	Provides updates on progress with subawards if requested	Works with PI to insure information is provided and deadlines are met		Gathers information at Pre-award Stage. Reports in FFATA system		
Recharge Center Cost Approvals	Approve	Review invoice from recharge center, confirm appropriate chartstrings, forward to PI for approval			Checks the budget and dates of services	
Accounts Receivable Management					Apply all payments to invoices/projects; monthly review of A/R: Collections/refunds and write-offs	
Tracking Cost sharing	Monthly Review of TDR with administrator	Monthly Review of TDR		Annually initiate C/S budget form	Includes Cost sharing in reports to sponsors	Provost office tracks their portion of the cost share - works with OSP/dept/service ctr to verify
Process Payroll & Encumbrances		Process paperwork through system once appropriateness of charge has been determined			OSP ensure the start and end dates are in line with the project and that there is budget available in that project account	
Hiring and Termination Paperwork	Signs form/reviews	Process paperwork through appropriate system			For new hires, OSP ensures the start and end dates are in line with the project and that there is sufficient budget available in that project account	Review/approve all faculty related transactions

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Payroll Distribution changes	Initiate and approve	Process paperwork through system once appropriateness of charge has been determined			OSP ensure the start and end dates are in line with the project and there is budget available in that project account	
Summer Salary	Initiate and approve	Process paperwork through system once appropriateness of charge has been determined			Verify all information on form (paper) is complete and accurate and that grant is open and sufficient funds are available. Verify salary does not exceed 1/9 of previous academic year salary. Sign and submit form to HRSC. File copy.	Review/approve
Buyout	Initiate and approve	Process paperwork through system once appropriateness of charge has been determined			Confirm amount requested is correct for period of time and that effort was budgeted then approve	Review/approve
P-Card	Initiate request for P-card purchase	There should be a separation of duties within the department, with one individual responsible for processing P-card transactions, and one individual responsible for reconciling monthly expenses. Original documentation for P-card purchases is maintained at the department, and is provided to OSP for monthly sampling.			OSP performs a post review of all expenses over 1K, and also a sampling of expense under 1K	

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Expense Reports and Vouchers over 1K	Initiate and approve	Process paperwork with appropriate documentation through appropriate system			If over 1K OSP reviews documentation to confirm that the expense is reasonable, allowable and allocable to the grant within the project period.	
Purchase Orders over 1K	Initiate and approve	Process paperwork through appropriate system			Review/Approve Transactions	
Professional Services Agreements over \$5K	Initiate and approve	Sole source or 3bids, work with procurement on a service agreement or P.O.			OSP reviews transaction to confirm that the expense is reasonable, allowable and allocable to the grant within the project period.	
Tuition	Initiate and approve	Originate in UIS. Send all necessary supporting docs to OSP			Crosswalk to UIS, add dept approvers, fund tuition budget, review, approve, to Financial Aid	

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TRAINING						
Administrators	Attend training, certify when required	Attend training, certify when required	Identify training needs, create materials			
Faculty	Attend training, certify when required	Attend training, certify when required	Identify training needs, create materials			