

Grant Management Matrix Contracts Grants - DORED

(o=Owner, c=Contributor)

	Responsibilities	PI	Dept. Chair	Dean / Director	Pre-Award	C&G Post-Award	College / Dept Level Admin	VC for B&F	VC for DORE D	Research Compliance Officer	Tech Transfer	Other
	Proposal Preparation and Submission											
1	Reviews requests for proposals for technical requirements	o			c							
2	Reviews requests for proposals for institutional compliance	c			o							
3	Prepare technical proposal	o										
4	Reviews proposed project to verify that it is in line with departmental and institutional mission	o	c	c	c							
5	Develops initial budget draft to accomplish proposed scope of work	o			c							
6	Reviews budget for appropriated salaries, fringes, tuition, indirect, and escalations	c			o							
7	Requests and documents approval for cost-sharing	o										
8	Approves and provides documentation for cost-sharing	c	o	o								
9	Reviews and approves required and voluntary cost sharing			o	c							
10	Prepares final version of proposal as required by the sponsor. Completes the college/department's portion of the Internal Routing Forms and, as appropriate, other attachments. Routes all forms for University signatures	o	c	c	c							
11	Requests and documents University signature approvals of internal Routing Forms and, as appropriate, other attachments. Routes all forms for University signatures	o			c							
12	Provides proposal to Pre-Award in advance of sponsor deadline	o										
13	Provides authorized University signature and submits proposal as dictated by sponsor instructions				o							

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14	Negotiates sponsored research agreements	c			o							
15	Maintains proposal pending files and database				o							
Regulatory Compliance												
1	Prepares and submits protocols for research involving human subjects, animal use, and biosafety hazards	o	c							c		
2	Verifies investigators are submitting protocols to appropriate compliance committee(s)	o	c							c		
3	Approves compliance protocols									o		
4	Provides documentation of certification and representations to sponsor	o			c							
5	Verifies compliance with federal regulations regarding financial disclosure of potential conflicts of interest	o			c				c			c=Provost
6	Maintains export control documentation and clearances for faculty and staff				o				c	c		
Award Negotiation, Acceptance, and Establishment												
1	Accept award on behalf of University				o				o			
2	Negotiate, approve, and notify the PI of project terms and conditions				o	c						
3	Agree to terms and conditions regarding performance clauses.	o			c							
4	Establish fund in financial system based on award documentation					o						
5	Send copy of Award Letter (i.e., Notice of Award) to PI and appropriate department support (e.g., Unit Business Administrator). Also notify PI that fund has been established.				o	c						

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6	Schedule and conduct start-up meeting and provide PI with fund code.	c			o	c						
7	Provide documentation of certifications of approvals to sponsors	c			o							
8	Request pre-award fund setup (e.g., Letter of Guarantee/Contingency Funding) if needed	o										
9	Approve pre-award costs and commitment of department funds if project is not funded		o	o	c	c		c	c			
10	Initiate request for sub-award	o										
11	Develop draft, and negotiate sub-award				o							
Effort Reporting												
1	Provide information on compliance with effort reporting policy			c		o						
2	Distribute and collect effort reports			c		o						
3	Complete time and effort reports including approving certification of other personnel	o	c	c								
4	Verify compliance with effort reporting policy			c		c		o	o			c=Provost
5	Manage time and effort reporting system and maintain certifications of time and effort reports					o						
Managing the Award - Financial												
1	Verifies the allowability, reasonableness, allocability, and consistency of expenditures	o				c						
2	Provides oversight of sponsored project administration including the review and approval of cost transfers					o						
3	Initiates and encumbers personnel transactions	o				c						
4	Certifies cost sharing and provides to Post-Award	o										

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5	Reviews and reports cost sharing efforts to sponsor					o						
6	Reviews expenditures in restricted budget categories	o				c						
7	Initiates request for re-budgeting and cost transfers	o										
8	Approves requests for re-budgeting and cost transfers according to sponsor requirements				o	c						
9	Requests no-cost extension	o										
10	Reviews and approves requests for no-cost time extension				o							
11	Indirect Cost Rate Negotiation							o				
12	Indirect Cost Receipts Allocation					c		o				c=AVC for Budget & Planning
13	Approves payment of sub-recipient invoices	o				c						
14	Submits all invoices (including sub-award invoices if required) to sponsor					o						
15	Performs drawdowns (i.e., letters of credit)					o						
16	Monitors invoices and aging of receivables					o						
17	Performs follow-up on outstanding receivables and determines need for write-off	c				o						
18	Revenue collection					o						c=Controller's Office
19	Applies payment to proper fund					o						
20	Reconciles cost to General Ledger					o						
	Managing the Award - Non-Financial											
1	Conduct the sponsored project and provide overall oversight on all research activities	o	c	c								
2	Hire or assign research personnel for the project	o										

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3	Prepare and submit technical reports and provide other deliverables to the sponsor as required	o			c							
4	Initiate material transfer agreements	o									c	
5	Provide oversight on the implementation of University, state, and federal policies and regulations	c	o	c				c	c			
6	Review programmatic changes to the project	o			c	c						
7	Review and approve incoming materials transfer agreements										o	
Financial Reporting												
1	Provide information for and prepare financial reports	c				o						
2	Review and analyze financial reports to external sponsors	c				o						
3	Provide interim financial reports to the sponsor	c				o						
Closing Out the Award												
1	Document cost sharing funds as required	o				c						
2	Respond to closeout checklist and confirm award termination	o				c						
3	Notify PI of the need for completion of final technical report				o							
4	Prepares and submits to sponsor final technical report	o			c							
5	Prepares and submits to sponsor financial report and final invoice as required	c				o						
6	Inactivate fund					o						
7	File appropriate closeout documentation				o	o						