

*I. Roles and Responsibilities Matrix*

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Identify Funding Opportunities (Pre-Award)					
Meets with PI in order to gauge interest in Funding Opportunity Announcements			X		
Creates, collects, and disseminates funding opportunities campus-wide			X	X	
Identifies specific funding opportunities based on research area and key word search	X		X	X	
Corresponds with sponsors regarding specific funding opportunities	X				
Makes final decision on pursuit of funding opportunity	X	X			
Conducts periodic meeting with PI to discuss funding horizon and funded awards			X		
Maintains system access and system requirements for each potential sponsor				X	
Proposal preparation (Pre-Award)					
Manages planned applications for faculty via ePTF working files/ Cayuse			X		
Prepares and maintains ePTF record for proposals due			X		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares proposal - compiles administrative components (ie. Project Summary/Abstract, Project Narrative, Facilities and Other Resources, Equipment, Biographical Sketches, Subcontractor documents)			X		
Budget Development	X		X		
Prepares proposal - technical/scientific, letters of support (including budget justification as it relates to the specific aims of the proposal)	X				
Approves proposed cost sharing		X			
Obtains documentation from proposed subcontractors			X		
Drafts Letter of Intent (administrative or financial), if applicable. If a budget is required, PI should alert RACE Grants Administrator their intent to propose at least 2 weeks in advance of sponsor deadline.			X		
Drafts Letter of Intent (scientific), if applicable	X				
Maintains copies of Biosketch and Current/Pending Support, documents in common files for use in future proposals	X		X		
Updates biosketches prior to proposal submission (including but not limited to: position title, education/training, personal statement, positions and honors, contributions to science, and research support)	X				
Completes, reviews, and routes proposal for approval			X		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Approves proposal	x	x		x	
Submits proposal to sponsor				x	
<b>Award Reporting (Pre Award)</b>					
Prepares all administrative components of Just in Time or other pre-award requests from the sponsor			x		
Verifies CITI certifications for human subject training is active			x		
Prepares protocol, if applicable	x				
Gathers regulatory approvals for JIT and Progress reports (IRB & IACUC)			x	x	
Prepares all administrative components of Progress Report submissions			x		
Verifies Carryforward Amount	x		x		
Prepares all scientific components of Just in Time and Progress Report submissions (including ensuring the proper publications are linked in accordance with NIH Public Access Policy)	x				
Submits material (Just in Time documents/responses) to sponsor				x	
<b>Award Acceptance (Pre-Award)</b>					
Reviews award document and determines if a revised budget is required			x		
Reviews award terms and conditions and grant purchasing guidelines with the PI			x		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Gathers regulatory approvals for JIT and Progress reports (IRB & IACUC)			X		
Prepares protocol, if applicable	X				
Prepares awarded budget (if different from proposed budget)			X		
Approves awarded budget (if different from proposed budget)	X	X			
Reviews and confirms effort/salary cap/cost sharing and subcontract execution			X		
Prepares coverage analysis				X	
Reviews and approves coverage analysis	X				
Accepts grant award on behalf of TJU				X	
Negotiates contract or award with sponsor on behalf of TJU				X	
Participates in negotiations as advisor	X		X		
Prepares and approves NIH and other federal non-grant/contract arrangements				X	
Requests and monitors Advance Accounts			X		
Approves request for Advance Account		X		X	
Sets up award (or Advance) account in GL					X
Sets up award for transactional processes and systems (PeopleSoft/focus)					X

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Completes Conflict of Interest Disclosures prior to expending funds on awarded grants	x				
Reviews to ensure COI is complete			x	x	
<b>Award Modifications</b>					
Identifies need for award modification	x		x		
Completes internally required forms (i.e. UPAS, ePTF)			x		
Initiates request for No Cost Extension (NCE) or other award amendment			x		
Approves UPAS (for advance accounts, pre-award costs and cost sharing)		x			
Drafts letter of request to the sponsor			x		
Reviews required forms and submits request to sponsor				x	
<b>Monthly Award Management (Post-Award)</b>					
Monitors spend pattern compared to budget			x		
Documents data into RACE internal spreadsheet in order to make accurate projections for each grant and PI			x		
Issues monthly grant management reports to RACE administrators and departmental administrators					x
Reviews all red flag charges to award (such as federal express, office supplies, postage etc.)			x		

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Obtains periodic confirmation of salary distributions from PI - key personnel and research staff			X		
Completes monthly reconciliation of grant accounts			X		
Resolves cost overruns on sponsored accounts via Cost Transfer			X		
Reviews status of grant accounts with PIs on a quarterly basis			X		
Prepares projections			X		
Analyzes Reserve				X	
Documents cost allocation methodologies			X	X	
<b>Annual Award Management (Post-Award)</b>					
Provides award and projection data for Hyperion for departmental budgeting			X		
Enters data for annual budgeting process into Hyperion		X			
Initiates request for re-budgeting			X		
Approves re-budgeting request				X	
<b>Salary Distribution</b>					
Initiates personnel changes (grant begin/end, prospective distribution changes)			X		
Reviews and manages personnel changes (personnel hiring/terminations, unscheduled status/rate changes *no retroactive increases, for example)		X			

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Completes Online Salary Distribution Form (OSD) for 08x accounts			X		
Obtains approval for salary distribution			X		
Approves salary distribution	X	X		X	
Initiates PAR/ PAF/ SFRAR Human Resources Forms		X			
Approves PAR/ PAF/ SFRAR Human Resources Forms on sponsored accounts	X	X	X	X	
Posts personnel charges to GL					X
Posts fringe benefit adjustments to GL					X
<b>Effort Reporting</b>					
Triggers effort reports for review				X	
Reviews effort reports for accuracy			X		
Notifies certifiers once reports have been reviewed			X		
Certifies effort reports	X (Certifier)				
Tracks key personnel effort changes and identifies need to disclose to sponsor, if necessary			X		
Prepare key personnel effort change communication			X		
Discloses key personnel effort changes to sponsor				X	
<b>Cost Transfers</b>					

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares cost transfers and completes > 90 justification if necessary			X		
Approves cost transfers that involve transfers from research accounts to departmental accounts	X	X		X	
Approves cost transfers that involve transfers between research accounts	X			X	
Processes approved cost transfers					X
Review of animal charges			X		
Approves animal charges	X				
Monthly/ Quarterly IDC Report: Sends Data to Department for F&A Split			X		
Monthly/ Quarterly IDC Report: Performs IDC Split		X			
<b>Purchasing</b>					
Allocates grant salaries/expenses/purchases			X		
Approves salary/expenses/purchases				X	
Ensures purchases appropriate to award period			X		
Equipment purchasing, tracking, and safeguarding	X	X	X		
Approves equipment purchases				X	
Posts PO encumbrance entries to GL					X
Approves requisitions			X	X	

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Documents and prepares Professional Service Agreements			x		
Executes Professional Service Agreements				x	
Provides supporting documentation for p-card charges	x				
Approves and retains support for P-card charges		x	x		
Prepares employee reimbursement report		x			
Approve employee reimbursement report on sponsored accounts			x	x	
Prepares Travel Reimbursement forms	x	x			
Approves Travel Reimbursement on sponsored accounts			x	x	
<b>Subrecipient monitoring</b>					
Reviews invoices received prior to processing payment				x	
Reviews and follows-up on invoices with special terms and conditions				x	
Submits invoices for payment				x	
Addresses subrecipient questions regarding payment of invoices				x	x
Approves Invoices for payment	x				
Addresses performance issues with subrecipient and reports to RACE and central office immediately	x				
<b>Closeout</b>					
Prepares Final Invention statement	x				

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Submits Final Invention statement				X	
Prepares final reconciliation/financial report/invoice					X
Notifies appropriate personnel and PI that grant is ending			X		
Completes final reconciliation and closeout grant account			X		
Processes OSDs required for ending grants			X		
Approves final financial report/invoice	X		X		
Submits financial report/invoice					X
Prepares final scientific and technical reports	X				
Reviews to ensure all technical reports have been delivered				X	
Prepares Relinquishing Statement			X		
Approves Relinquishing Statement				X	
Reconciles cost sharing with residual balances				X	
Inactivates award on GL so no longer available for transactions					X
Terminates employees if applicable, once award ends and processes paperwork		X			
Returns residual balance to sponsor, if required					X
<b>Compliance &amp; Interim Financial Reporting</b>					
Ensures PMS updates are correct per prior institution FFR and NOA					X

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Prepares external surveys				X	
Posts internal fees to GL					X
Posts monthly F&A allocation					X
Issues grant, PI, Department, School, and University statements and reports to all constituents				X	X
Approves variations to full rate as proposed by sponsors				X	
Disclosure for bond issues				X	
Submits annual CCR registration				X	
Completes annual disclosure in conjunction with TJU policy	X				
Works with TJU Research Administrative offices to ensure compliance	X		X	X	X
<b>Invoicing, Accounts Receivable, and Cash Management</b>					
Deposits checks related to sponsored accounts					X
Applies cash received to the proper sponsored award					X
Applies unidentified deposits to clearing account; prepares and approves cash transfer when identified and applied to sponsored project					X
Assists with the investigation of unidentified deposits (if needed)			X		
Prepares invoices for sponsored accounts (milestones, execution of contract, specified invoice schedule, and cost reimbursement)					X

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Confirms when milestones are met for invoicing	x		x		
Provides additional information for sponsored account invoices (if needed)	x		x		
Submits invoices to sponsor					x
Identifies significant cash deficit on sponsored accounts			x	x	x
Performs follow-up on accounts receivable for invoiceable projects (milestone and cost reimbursement)					x
Performs follow-up on accounts receivable for non-invoiceable projects (payment upon execution, scheduled payments, etc.)					x
Interprets and outlines payment terms on establishment memo				x	
Assists with follow-up for escalated accounts receivable upon issuance of third dunning notice			x		
Prepares cash transfers			x		
Approves cash transfers				x	
Posts cash transfers to GL					x
Applies electronic funds					x
Prepares and analyzes receivable/ advance balance sheet accounts					x
Posts interest earnings when applicable					x
Sponsor Communication					

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
<b>(Pre and Post Award)</b>					
Identifies need to contact sponsor	X		X	X	X
Assists with drafting sponsor communication (letters requiring institutional signature)	X		X		
Contacts sponsor on behalf of TJU (letters requiring institutional signature)				X	X
Contacts sponsor on behalf of TJU (general pre and post award grants administration inquiries)				X	X
<b>Other Activities</b>					
Participates in continuing education	X		X	X	X
Coordinates all external audit requests				X	
Exhibits TJU and sponsor system proficiency			X	X	X
Responds to requests for information related to audits	X	X	X	X	X
Maintains current files (electronic) for use in audit requests			X	X	X
Ensures requisitions expensed and match exceptions addressed			X	X	
Maintains roles and users in sponsor systems				X	
Works with PI and sponsor to expedite transfer of award; confirm start date of employment			X	X	
Rate/ fee development, negotiation, and application				X	X
Posts TJU/H Subrecipient activity					X

Responsibility					
Role	PI	College/ School/ Dept./ Other	RACE	ORA	SPAO
Enacts related transactions; provides related management reports				X	X
Approves research incentive bonuses and coding				X	
Documents circumstances requiring JeffTemps and Work Study related to grants			X		
Prepare final equipment				X	
Provides PI- centric content for website			X		
Ensures regulatory/policy updates available to all			X	X	
Develops reports/queries as needed				X	X