

Sponsored Program Administration Roles and Responsibilities Matrix

Primary = Primary Responsibility for activity X = Involvement in activity

Activity	Comments	Principal Investigator	Department	College	Grants Accounting	Sponsored Programs Office	Other as Noted
Post Award Activities							
1 Review award terms and conditions including verifying consistency with proposal						Primary	
2 Negotiate, sign, and accept agreement on behalf of university						Primary	General Counsel is consulted, as needed
3 Verify compliance with sponsor and other regulatory requirements before commencing project	Including Human Subjects IRB review, vertebrate animals IACUC congruency review, Financial Conflict of Interest training and disclosure					Primary	
4 Provide liaison with sponsors throughout the life of the project	Guide PIs in interpretation or clarification of federal regulations, funding agency requirements, award terms, and university policies. Stays abreast of changes in federal regulations and communicates updates to the university community.					Primary	
5 Create, maintain, and terminate sponsored project indexes in Banner					Primary	X	
6 Finalize award budget for Spending Plan	Sponsored Programs works with PI to finalize the budget and sends to spending plan to Grants Accounting	X	X			Primary	
7 Load budgets into Banner					Primary		
8 Communicate index/fund numbers to the PI and others as appropriate	Distributed via email				Primary		

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9 Initiate new personnel appointments	Dept to process with PI input. Refer to Staffing the Project section of the Grants Management Manual.	X	Primary	X			HR, Academic Personnel, Career Exploration and Development
10 Initiate non-salary purchases	Dept to process with PI input	X	Primary				Procurement and Grants Accounting > \$5,000
11 Approve expenditure requests	Grants Accounting reviews for sponsor restrictions when necessary	Primary	X	X	X		
12 Maintain documentation of PI approval of expenditures	Only necessary when approval is not automatically captured		Primary				
13 Identify need for and request cost transfers (salary and non-salary)	Dept can process with PI input	X	Primary		X		
14 Approve transfer requests over 90 days old					Primary		
15 Enter allocation changes into Banner					Primary		
16 Prepare and send invoices and/or financial reports to the sponsor	PI has opportunity to review final invoice/report	X			Primary		
17 Prepare and send programmatic and/or technical reports	Works with Sponsored Programs when needed / send copies to Sponsored Programs	Primary				X	
18 Execute Subaward Agreements		X	X			Primary	
19 Onboard Subawardees (and other vendors) to PaymentWorks	All vendors must be registered through payment works. See AP website for instructions.		X				Accounts Payable

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20 Receive Subaward Invoices, verify sufficient balance to pay and route for approval					Primary		
21 Approve Subaward Invoices	PI approves work and ensures deliverables are met prior to authorizing payment. Notify Sponsored Programs if issues or changes to subaward needed.	Primary	X			X	
22 Monitor budget vs. expenses (monthly best but at least quarterly)	With good tools, Dept can monitor budgets and report to PI	Primary	X	X	X		
23 Monitor cost sharing commitments	With good tools, Dept can monitor budgets and report to PI	Primary	X	X	X		
24 Follow up on outstanding Accounts Receivables payments from sponsors	Others involved as needed 3 mos past due - PI 6 mos past due - PI, SP, Chair 1 yr past due - index frozen	X	X	X	Primary	X	
25 Receive and book payments from sponsors					Primary		Bursar's Office
26 Request sponsor payments including preparing Federal letter of credit draws					Primary		
27 Return unused funds to sponsor at close of project, if required	Unobligated balances are reported to the VP of Finance and Sponsored Programs				Primary		
28 Initiate requests for project changes/modifications (i.e. budget revision, no cost extension, key personnel changes, carryover funds)	Requests can be initiated via the Prior Approval form.	Primary	X			X	

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29 Process requests for project changes/modifications (i.e. budget revision, no cost extension, key personnel changes, carryover funds)	Includes obtaining sponsor approval as required	X				Primary	
30 Close out - Final review of expenses	Verify charges are accurate, within budget, and nothing is missing	Primary	X				
31 Close out - Intellectual Property Reporting	Completed through life of project when applicable intellectual property disclosed	X				Primary	
32 Close out - Fixed Asset Reporting						Primary	Controller's Office (Financial Accounting Manager)
33 Close out - Final invoice and/or financial report		X			Primary		
34 Maintain original Pcard and travel receipts			Primary				
35 Generate Effort Reports and monitor compliance		X			Primary		
36 Certify Effort Reports		Primary					
37 Year-end Indirect Cost Allocation	Distribute Indirect Costs collected during the prior fiscal year				Primary	X	
38 Facilitate external audits		X	X		Primary	X	Internal Audit