Roles and Responsibilities Matrix

Background

Adopted April 2015

Basis for Development of the Matrix

The Office of Contracts and Grants together with the Campus Controller’s Office undertook a strategic plan in 2014 that encompassed review of current practices and procedures within sponsored project administration that would benefit from updates and new initiatives. In the course of that review, it was determined, in collaboration with the University’s Research Advisory Council, that a cornerstone document aligning roles and responsibilities over the lifecycle of a sponsored project was needed.

1. REGEN T ADMINISTRATIVE POLICY

Regent Administrative Policy Statement 1012¹ mandates:

Roles and Responsibilities. Each chancellor shall ensure the campus shall have a comprehensive matrix or document that identifies the individuals who have specific roles and responsibilities in the conduct and administration of sponsored research, from preparation of the proposal through the project’s completion and closeout.

Campus policies shall be designed to: 1) define and communicate the roles and responsibilities of principal investigators, departmental/unit administrators, and campus sponsored programs offices; and 2) define the functional roles and responsibilities of these individuals so that their relationship to institutional roles and responsibilities is clear.

2. COUNCIL ON GOVERNMENTAL RELATIONS² PRINCIPLES OF BEST PRACTICES

The Council instructs that universities conducting research have --

A comprehensive system in place that provides for written policies and practices covering the scientific conduct and the administrative and financial management of sponsored programs.

Practice A. The college or university has clearly established lines of responsibility, i.e., delineation of the roles and responsibilities, for all scientific and administrative personnel involved in the conduct and management of sponsored programs.

Indicator 1. The institution obtains confirmation that the principal investigator accepts responsibility for financial management of the proposed project.

Indicator 2. Within an operating unit, roles and responsibilities, along with an appropriate system of checks and balances, are clearly defined and understood.³

¹ Regent Administrative Policy Statement 1012: Sponsored Research Policies (July 1, 2010).
² The Council on Governmental Relations is a national association of leading research-intensive universities that develops standardized policies and practices in research administration and training.
Development Process

Sponsored Projects Accounting and the Office of Contracts and Grants, on March 4, 2014, chartered the Roles and Responsibilities Matrix Team to develop a matrix of duties and assignment of responsibilities for the administration of sponsored projects on the CU-Boulder campus.

Eleven working groups, listed below, were formed and the members were comprised of more than forty volunteers from departments, including administrative and financial professionals, and staff members from Sponsored Projects Accounting, including accountants and billing technicians, as well as Office of Contract and Grant staff members, including proposal analysts, grant officers, contract officers and subcontract officers.

The working groups were charged with defining all significant tasks and duties within 15 specific functional areas of responsibility pertaining to sponsored project administration throughout the lifecycle of an award, from proposal inception through final closeout. The teams were, as follows:

Pre-Award (1 team, 6 team members; RASEI & Engineering)

Post-Award (10 teams)
1. Award Acceptance (5 team members; Physics & CIRES)
2. Award Set Up (3 team members)
3. Subcontracting (4 team members; IBG & Engineering-CSGS)
4. Award Management (6 team members; JILA & CIRES)
5. Financial Reporting/Billing for Sponsors (5 team members; Engineering)
6. Cash Management (2 team members)
7. Property, Technical and Other Reports (4 team members; Export Controls & CIRES)
8. Certification Time and Effort (4 team members; Math)
9. Close out (6 team members; Engineering)
10. Audit Preparation (1 team member)

Timeline

November 2013 - January 2014 Research Roles & Responsibilities Matrices issued by major U.S. research institutions and prepare draft matrix by award life-cycle segment
February 2014 Solicited volunteers from Departmental Research Administration professionals to participate in the project
March 4, 2014 Chartered Teams and established working groups
June 13, 2014 Working Group Teams completed matrices within their assigned functional areas
Summer 2014 Senior Management in Research Administration reviewed recommendations and prepared a working matrix in draft form for further outreach prior to finalization
September 2014 Draft Matrix prepared
October – present Review and Refine Matrix
November/December 2014 Develop FAQs
January 2015 Faculty and Administrators Advisory Board approved Matrix/FAQs
March 2015 Matrix presentation to Dean’s Council
March 2015 Distribution to Research Administration staff
April 2015 Matrix presented to Research Advisory Council for final approval and submission to Chancellor
April 2015 Training for Department Administrators
May 2015 Communication to Deans, Directors, Chairs, Active PIs & Administrators