



Research Administration

UNIVERSITY OF COLORADO **BOULDER**

## **Roles and Responsibilities Matrix**

Adopted April 2015

The Roles and Responsibilities Matrix for Research Administration at CU-Boulder seeks to identify commonly encountered activities and to provide guidance regarding the responsible parties for each within sponsored research.

The Matrix was created in accordance with Regent Administrative Policy Statement 1012.

Note that this Matrix is not meant to be prescriptive or exhaustive and is subject to change.

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**ROLE DESIGNATIONS LEGEND**

Primary Responsibility for action/implementation of tasks:

**P** = PRIMARY currently

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Support/Consult, as necessary

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<b>RESEARCH ADMINISTRATION PROCESS</b>	<b>Principal Investigator (PI)</b>	<b>Office of Contracts and Grants (OCG)</b>	<b>Sponsored Projects Accounting (SPA)</b>	<b>Department Administrator</b>	<b>Technology Transfer Office (TTO)</b>	<b>Office of Industry Collaboration (OIC) (For industry research only)</b>	<b>Research Compliance Offices: Export, COI, IRB, IACUC</b>	<b>Property Accounting Office (PAO)</b>
<b>Pre Award</b>								
<b>Preparing to Submit a Proposal</b>								
Locate funding opportunity	<b>P</b>	<b>S</b>				<b>S</b>		
Read and interpret proposal guidelines	<b>P</b>	<b>S</b>				<b>S</b>	<b>S</b>	
Prepare Non-Disclosure Agreements, as needed	<b>S</b>				<b>P</b>	<b>S</b>		
Prepare Teaming Agreements, as needed	<b>S</b>	<b>P</b>				<b>S</b>		
File Annual DEPA	<b>P</b>						<b>S</b>	
<b>Proposal Development</b>								
Obtain and understand sponsor instructions for proposal preparation	<b>P</b>	<b>S</b>		<b>S</b>				
Identify Cost Sharing in proposal and obtain cost share approval from Department	<b>P</b>	<b>S</b>						
Identify and indicate approvals needed for proposal	<b>S</b>	<b>P</b>						
Completion of Proposal PI Checklist/Intake Form	<b>P</b>			<b>S</b>				
Provide guidance to PI on proposal preparation		<b>P</b>		<b>S</b>	<b>S</b>	<b>S</b>		
Develop and revise technical narrative, Bio sketches, Current and Pending	<b>P</b>			<b>S</b>				
Develop administrative pages of proposal		<b>P</b>		<b>S</b>				
Ensure required Effort available, if awarded	<b>P</b>		<b>S</b>					
Identify subcontractors/collaborators	<b>P</b>							
Request and collect necessary Subcontractor Budget, Statement of Work (SOW), Commitment Form and Sole Source Justification	<b>P</b>	<b>S</b>		<b>S</b>				
Notify Office of Industry Collaboration of proposal with Industry (non federal/non federal flowthrough)	<b>S</b>	<b>P</b>						
Draft Budget [Proposal Development module in Boulder eRA will empower PIs to create budgets]	<b>S/ PF with eRA</b>	<b>P</b>		<b>S</b>				

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Review Budget	P/ SF with eRA	S/PF with eRA		S		S		
Revise Budget in partnership with PI	S	P		S				
<b>Proposal Review and Approval</b>								
Review proposal package, including cost-share requirements, before sending proposal and completed Proposal Submission Review (PSR) Form to OCG at least 5 Business Days in advance of submission deadline	P			S				
Provide institutional review and approval of proposal and budget		P						
Review proposed Cost Sharing commitment for compliance with University policy and sponsor terms	S	P	S					
Identify non-standard F&A ( <b>Indirect Cost</b> ) rate requiring an IDC Addendum		P				P		
Submit to OCG F&A ( <b>Indirect Cost</b> ) rate waiver approval requests	P	S				P		
Review subcontractors' proposals and check for their institutional approval	S	P						
Make revisions and corrections to proposal after institutional review	P	S						
Identify export control issues, if any	P	S						
Obtain necessary export control review	P			S			S	
Initiate Institutional Review Board (IRB) approvals	P			S				
Initiate Institutional Animal Care and Use Committee (IACUC) approvals	P			S				
Initiate Technology Control Plan	P			S			S	
Initiate biosafety reviews	P			S				
<b>Proposal Submission</b>								
Submit proposals to sponsors (OCG must be involved in all proposal submissions.)	S	P						
Record proposal submission in Boulder eRA		P						
<b>Pre-award Activities</b>								
Prepare/collect additional paperwork for sponsor (i.e., Just In Time (JIT))	S	P		S				

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Review and submit additional paperwork to sponsor (JIT)	<b>S</b>	<b>P</b>						
Request pre-award spending account if needed, including Budget and Period of Performance (PoP)	<b>P</b>			<b>S</b>				
Approve pre-award spending account		<b>P</b>						
Set up pre-award spending account			<b>P</b>					
<b>Post Award</b>								
<b>Notice of Award, Review, and Acceptance</b>								
Record award information in Boulder eRA system		<b>P</b>						
Review award		<b>P</b>						
Review and negotiate terms and conditions in award		<b>P</b>						
Review nonstandard Intellectual Property (IP) terms, and negotiate IP issues		<b>P</b>			<b>S</b>			
Review and negotiate financial (including reporting and invoicing) terms and conditions in award notice		<b>P</b>						
Assess whether awarded budget is different from that proposed and determine if re-budgeting is necessary	<b>S</b>	<b>P</b>						
If awarded budget is different from that proposed, notify OCG if change in Statement of Work (SOW) required	<b>P</b>	<b>S</b>						
Review the approved budget, identifying separate projects/budgets if needed		<b>P</b>						
Accept terms and conditions of the award on behalf of the University; sign on behalf of Regents		<b>P</b>						
Upload final award document into Boulder eRA		<b>P</b>						
<b>Award Set-Up</b>								
Obtain needed internal approvals (e.g., Human subjects, Export Control, Biosafety, IACUC)	<b>P</b>			<b>S</b>				
Verify internal approvals required are in place prior to project set-up		<b>P</b>		<b>S</b>				
Verify current year DEPA is on file		<b>P</b>						
Enter initial award data in Boulder eRA		<b>P</b>						
Set up Cost Sharing SpeedType			<b>P</b>					

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Schedule technical/final reports in Boulder eRA (Accuracy is critical at set up to facilitate efficient closeout.)		<b>P</b>						
Schedule other non-financial reports in Boulder eRA - i.e., milestones (Accuracy is critical at set-up to facilitate efficient closeout.)		<b>P</b>						
Send requests for project(s) setup		<b>P</b>						
Schedule financial reports			<b>P</b>					
Assign Project Number (auto-assigned in Boulder eRA)			<b>P</b>					
Make Evaluation of Exchange Transaction and document			<b>P</b>					
Verification of Project Budget and correlate to Budget Account Codes			<b>P</b>					
Enter award data into Peoplesoft			<b>P</b>					
Create SpeedType in Peoplesoft and e-mail notification results			<b>P</b>					
Create distribution code			<b>P</b>					
Create Budget Journal Entry in Peoplesoft			<b>P</b>					
Input project number and SpeedType in Boulder eRA (until 9.2 implementation); project # assignment will be automated in Boulder eRA			<b>P</b>					
<b>Subcontracting Out</b>								
Create Subcontract record in Boulder eRA		<b>P</b>						
Create Purchase Order Requisition in Marketplace for Subcontract				<b>P</b>				
Complete and submit Sole Source Justification and Sub Review Form	<b>P</b>			<b>S</b>				
Gather SOW, Budget, Budget Justification, Sub Commitment Form, Rate Agreement (if not included in proposal)	<b>S</b>	<b>S</b>		<b>P</b>				
Draft agreement and send to subrecipient		<b>P</b>						
Negotiate terms with subrecipient		<b>P</b>						
Review and approve final subcontract document, upload to Boulder eRA		<b>P</b>						
Notify PI and Department of execution of subagreement		<b>P</b>						
Issue/Approve Purchase Order for Subcontract		<b>P</b>						

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Receive, review and approve Subcontractor's Invoice and authorize payment	<b>P</b>			<b>S</b>				
Coordination with OCG and Procurement Service Center (PSC) on Subcontractor issues	<b>S</b>			<b>P</b>				
Coordinate issue resolutions (e.g., invoicing schedule, billing questions, deliverable scheduling, No-Cost Extension requests) with subcontractors	<b>P</b>	<b>S</b>		<b>S</b>				
Coordinate financial issue resolution with subcontractors	<b>P</b>			<b>S</b>				
Request amendments to subcontract as needed, providing budget revisions, as needed	<b>P</b>			<b>S</b>				
Provide marked up Purchase Orders documenting amendments	<b>S</b>	<b>S</b>		<b>P</b>				
Draft, negotiate and finalize amendments		<b>P</b>						
Provide copies of Subcontract Amendments to PI and Department		<b>P</b>						
Confirm completion of Subcontractor's work, receipt of Final Invoice and cost share fulfillment	<b>P</b>			<b>S</b>				
Transmit out Subcontractor closeout documents		<b>P</b>						
Collect Subcontractor closeout documents and finalize	<b>S</b>	<b>P</b>		<b>S</b>				
<b>Award Management - Financial</b>								
Overall responsibility for financial and programmatic stewardship of award	<b>P</b>							
Review Project Budget and create Spending and Procurement Plan	<b>P</b>			<b>S</b>				
Generate requisitions in purchasing systems	<b>S</b>			<b>P</b>				
Initiate Re-budgeting request with OCG where Sponsor Authorization is required - (For change of scope, additional Subcontracts, F&A affected)	<b>P</b>			<b>S</b>				
Prepare revised budget	<b>P</b>			<b>S</b>				
Review and submit re-budgeting request to sponsor		<b>P</b>						
Monitor project spend rate	<b>P</b>		<b>S</b>	<b>S</b>				
Notify sponsor of anticipation of 75% spend, if notification is required, and copy SPA and OCG	<b>P</b>		<b>S</b>	<b>S</b>				
Approve Additional Pay Forms			<b>P</b>					
Cost Sharing: Post and Track on General Ledger (GL)			<b>S</b>	<b>P</b>				
Ensure fulfillment of cost share commitments	<b>P</b>		<b>S</b>	<b>S</b>				
Request appointment in HRMS	<b>S</b>			<b>P</b>				

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Monitor award expenditures for allowability, allocability and reasonableness throughout Period of Performance	P			P				
Ensure proper documentation exists and is retained to support appropriateness of expenditures	P			P				
Identify changes to approved Budget that require sponsor approval and notify OCG	P			S				
Review deviations in expenditures	P		S	S				
Spot audit expenditures			P					
Review accuracy of account codes/cost allocations/suspensions			S	P				
Reconcile accounts on a monthly basis				P				
Cost transfers: Initiate journal entry and provide supporting documentation for department approval				P				
Cost transfers: Review request and approval			P	S				
Initiate Carryforward (when sponsor approval required) request to Department Administrator	P			S				
Request Carryforward from sponsor		P	S					
Program Income: Identify, report, and ensure posting to appropriate account codes	S		S	P				
Monitor and reconcile balances to ensure spending within budget and to prevent overexpenditure	P		S	S				
Approve payment of subcontract invoices	P			S				
Verify final subcontractor invoice receipt	P			S				
<b>Award Management - Non Financial - - Property</b>								
Conduct the research project and provide oversight and stewardship on all research activities	P							
Initiate Materials Transfer Agreements, if needed	P			S	S			
Review programmatic changes to project	P	S						
Coordinate administrative and award term issue resolutions with sponsor	S	P		S				
Prepare and finalize Materials Transfer Agreements	S				P			
Notify OCG of changes to key personnel	P			S				
Request change of key personnel from sponsor	S	P						
Identify need for No-Cost Extensions and submit request to OCG	P			S				

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Review and Submit No-Cost Extension notifications/requests		<b>P</b>						
Notify OCG of anticipated award changes (scope, schedule, etc)	<b>P</b>							
Negotiate award changes (deliverables, schedule, scope)	<b>S</b>	<b>P</b>						
Provide deliverables as required, on schedule	<b>P</b>			<b>S</b>				
Ensure that all effort reports are certified as required	<b>P</b>		<b>S</b>	<b>S</b>				
<b>PROPERTY:</b>								
Review and understand sponsor's property terms in the award (Each department should have an individual whose job scope includes property liaison.)	<b>P</b>	<b>P</b>		<b>S</b>				
For <b>fabrications</b> , submit fabrication request form and new chartfield request to Property Accounting Office (PAO)				<b>P</b>				<b>S</b>
Identify need for Property and notify OCG and Department Administrator	<b>P</b>							
Initiate and substantiate request for equipment	<b>P</b>			<b>S</b>				
Request prior approval from sponsor for equipment purchases, when required	<b>S</b>	<b>P</b>		<b>S</b>				
Request purchases in Marketplace and attach all relevant documentation	<b>S</b>			<b>P</b>				
Approve Marketplace equipment and property purchases >\$5K		<b>P</b>		<b>P</b>				
Review and OK cost transfers involving equipment and property expenses	<b>S</b>	<b>P</b>		<b>P</b>				
Track <b>government titled</b> equipment purchases		<b>P</b>		<b>S</b>				
Verify functionality of <b>government titled</b> equipment	<b>P</b>			<b>S</b>				
Confirm physical receipt of <b>government titled</b> equipment, and notify OCG (Receipt of equipment means that someone has verified physical receipt and functionality of property.)	<b>S</b>	<b>S</b>		<b>P</b>				
Track receipt of <b>university titled</b> sponsored projects equipment	<b>S</b>			<b>P</b>				<b>S</b>
Enter equipment into Asset Management System		<b>S</b>						<b>P</b>
Receive <b>government furnished</b> property from sponsor and notify OCG	<b>P</b>			<b>S</b>				
Assign tag numbers to all equipment and generate tags								<b>P</b>
Attach <b>government titled</b> sponsored projects equipment tags to equipment		<b>P</b>		<b>S</b>				
Attach <b>university titled</b> sponsored projects equipment tags to equipment				<b>P</b>				<b>S</b>



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Continually monitor location/ functionality of all equipment. Notify department property administrator of any changes. Department will notify appropriate office.	<b>P</b>			<b>S</b>				
Update project records for <b>government titled</b> equipment		<b>P</b>						<b>S</b>
Conduct annual and closeout inventory of <b>government titled</b> equipment	<b>S</b>	<b>P</b>		<b>P</b>				
Request disposition of <b>government titled</b> equipment at closeout		<b>P</b>		<b>S</b>				
Request disposition of <b>university titled</b> equipment				<b>P</b>				<b>S</b>
Prepare and submit property reports to sponsor when needed		<b>P</b>						
<b>Financial Reporting/Billing for Sponsors</b>								
OCG ensures contracts include billing terms and conditions		<b>P</b>						
SPA confirms the billing terms, conditions and payment method written in the agreements from OCG			<b>P</b>					
Create invoice			<b>P</b>					
Establish engagements with sponsor billing and payment systems			<b>P</b>					
Generate Monthly Spend Reports	<b>P</b>			<b>P</b>				
Review Monthly Spend Reports	<b>P</b>			<b>P</b>				
Identify the need for submission of a financial status report	<b>S</b>		<b>P</b>	<b>S</b>				
Notify departments of upcoming final financial reports			<b>P</b>					
Obtain supporting documentation for cost sharing and prepare and submit cost-share report	<b>S</b>		<b>P</b>	<b>S</b>				
Provide institutional approval on deobligations/relinquishments		<b>P</b>	<b>S</b>					
Prepare and submit invoices and financial status reports to sponsors			<b>P</b>					
Upload and submit financial reports to sponsor along with required supporting documentation for audit purposes.			<b>P</b>	<b>S</b>				
Submit Sponsor required financial reports			<b>P</b>	<b>S</b>				

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<b>Cash Management</b>								
Accounts Receivable Management			P					
Manage cash (handling of checks, etc.) and deposits of checks			P	S				
Process Letter of Credit drawdown for a specific federal funded agency			P					
Record Letter of Credit draw for a specific federal funded agency			P					
Monitor and pursue the collections of overdue payments from sponsors			P					
Refund excess cash back to Sponsor and provide proper documentation			P					
<b>Property, Technical and Other Reports</b>								
Identify reporting requirements and due date and prepare for submission:								
Annual and final technical report/summary of research; notify OCG of submission	P	S		S				
Quarterly, annual, or final financial report			P					
Quarterly, annual, or final property report	S	P		S				
When there is new technology, patents, inventions	P				S			
Submission of all technology, patent and invention reports		P						
Contract-specific monthly financials				P				
Technology Control Plan reports when required							P	
Maintain official copies of progress reports	P	S		S				
<b>Certification of Time and Effort</b>								
Complete effort reports in a timely manner	P							
Track current and pending effort commitments	P			S				
Ensure compliance with effort reporting policy			P	P				
Provide local oversight for effort certification				P				
Provide guidance in interpretation of CU Policies and Federal Regulations as well as monitor compliance with reporting requirements			P					

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Provide training/presentations on activity reporting policies and procedures			<b>P</b>					
Notify OCG of changes in effort requiring sponsor approval	<b>P</b>			<b>S</b>				
Request sponsor approval if effort changes and must have sponsor approval	<b>S</b>	<b>P</b>		<b>S</b>				
Oversee activity planning, confirmation process and overall compliance with this policy in his/her department	<b>P</b>							
Final responsibility for the financial management of their sponsored projects	<b>P</b>							
Understand and comply with sponsor requirements for notifications regarding changes in personnel activity	<b>P</b>							
Certifies their own effort and certifies staff effort or designates someone with a suitable means of verification that the work provided to certify staff	<b>P</b>							
Communicates with Project Directors on multidisciplinary/multi institutional awards to ensure commitment of activity has been met	<b>P</b>							
Notify department administrators to make accounting adjustments as needed and ensure that minimum mandatory requirements are met	<b>P</b>							
Provide notifications of reduction or charges in activity to departmental administrators	<b>P</b>							
<b>Closeout Process</b>								
Identify awards ready for closeout	<b>S</b>	<b>P</b>	<b>P</b>	<b>S</b>				
Send closeout notices to department 90 days before project end date		<b>P</b>						
Reconcile account to ensure Cost Sharing commitment has been fulfilled			<b>P</b>	<b>S</b>				
Review budget deviations at closeout; all expenses must be final within period required for timely closeout	<b>S</b>	<b>S</b>	<b>P</b>	<b>S</b>				
Coordinate with department to inactivate cost share SpeedType(s)			<b>P</b>	<b>S</b>				
Ensure expenditures/cost transfers have been posted to correct accounts in a timely manner	<b>S</b>			<b>P</b>				
Review and approve cost transfers			<b>P</b>					
Review system financial reports for allowable/budgeted expenses and resolve issues	<b>P</b>		<b>S</b>	<b>P</b>				
Contact department to coordinate appropriate action for interest bearing account resolution			<b>P</b>	<b>S</b>				
Ensure final property inventory is complete and accurate	<b>P</b>	<b>S</b>		<b>S</b>				

**Research Administration: Roles and Responsibilities Matrix**

Adopted April 2015

**ROLE DESIGNATIONS LEGEND**

Primary Responsibility for action/implementation of tasks:

Support/Consult, as necessary

**P** = PRIMARY currently

**S** = SUPPORT currently

**PF** = PRIMARY in FUTURE

**SF** = SUPPORT in FUTURE

<b>RESEARCH ADMINISTRATION PROCESS</b>	<b>Principal Investigator (PI)</b>	<b>Office of Contracts and Grants (OCG)</b>	<b>Sponsored Projects Accounting (SPA)</b>	<b>Department Administrator</b>	<b>Technology Transfer Office (TTO)</b>	<b>Office of Industry Collaboration (OIC) (For industry research only)</b>	<b>Research Compliance Offices: Export, COI, IRB, IACUC</b>	<b>Property Accounting Office (PAO)</b>
Transfer residuals on fixed price agreements	<b>S</b>	<b>S</b>	<b>P</b>	<b>S</b>				
Refund excess cash back to the sponsor and provide proper documentation			<b>P</b>					
Maintain official financial documents for sponsored projects per Records Retention requirements			<b>P</b>	<b>P</b>				
Certify ePERS	<b>P</b>		<b>S</b>	<b>S</b>				
Fabrication subclass reviewed	<b>P</b>		<b>S</b>	<b>S</b>				<b>S</b>
Encumbrances are reviewed/closed	<b>P</b>	<b>S</b>	<b>S</b>	<b>P</b>				
Subcontractor encumbrances removed		<b>P</b>		<b>S</b>				
Identify any inventions and make disclosure to TTO	<b>P</b>				<b>S</b>			
Prepare all inventions/patent forms except for invention information		<b>P</b>			<b>S</b>			
Ensure all inventions/patents have been identified, included on forms and forms signed	<b>S</b>	<b>P</b>		<b>S</b>				
Verify final financials, final invoice, and payments received; file with project docs	<b>S</b>	<b>S</b>	<b>P</b>					
Prepare Release of Claims and Assignments		<b>P</b>	<b>S</b>					
Submit Release of Claims and Assignments		<b>P</b>						
Ensure that all Financial Reports have been submitted to sponsor and available for audit			<b>P</b>	<b>S</b>				
Ensure that all required award closeout documentation has been submitted to sponsor, is filed electronically with project documents, and is available for audit		<b>P</b>						
Inactivate PeopleSoft project SpeedTypes and enter retire date			<b>P</b>					
Confirm completion of subcontractor's work and receipt of final invoice	<b>P</b>			<b>S</b>				
Transmit out subcontractor closeout documents (to PI and then Agency's Certification)	<b>S</b>	<b>P</b>		<b>S</b>				
Collect subcontractor closeout documents and finalize (Agency, Marketplace with Department and SPA)		<b>P</b>		<b>S</b>				
Submit to OCG Subcontract--PI certification for closeout	<b>P</b>			<b>S</b>				
Review subcontractor's release of claims	<b>S</b>	<b>P</b>		<b>S</b>				
Review final invoice with final financial statements for closeout purposes		<b>S</b>	<b>P</b>					
Confirm subcontracts are closed prior to closing the prime		<b>P</b>						

**Research Administration: Roles and Responsibilities Matrix**

Adopted April 2015

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<b>RESEARCH ADMINISTRATION PROCESS</b>	<b>Principal Investigator (PI)</b>	<b>Office of Contracts and Grants (OCG)</b>	<b>Sponsored Projects Accounting (SPA)</b>	<b>Department Administrator</b>	<b>Technology Transfer Office (TTO)</b>	<b>Office of Industry Collaboration (OIC) (For industry research only)</b>	<b>Research Compliance Offices: Export, COI, IRB, IACUC</b>	<b>Property Accounting Office (PAO)</b>
<b>Audit Preparation</b>								
Coordinate the A-133 audit for the entire University			<b>P</b>					
When selected, responsible for responding to A-133 auditors transactional requests, completing the audit questionnaire, and participating in the audit interview with the PI			<b>P</b>					
Serve as liaison to sponsors on audit requests and visits		<b>S</b>	<b>P</b>					