

Roles & Responsibilities Matrix - University of Idaho

<u>DGA - Departmental Grant Administrator</u>	<u>OSP - Office of Sponsored Programs</u>	<u>ORA - Office of Research Assurances</u>
<u>PI - Principal Investigator</u>	<u>OSP-CR - OSP Contract Review</u>	<u>OTT - Office of Technology Transfer</u>
	<u>OSP-Dir-OSP Director (Asst. VP, Res. Admin).</u>	<u>ORED -Research & Econ. Develop.</u>
		<u>RFD - Research & Faculty Dev. Team</u>

ROLES

Training and Policy	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Keep current with Federal and non-Federal regulations regarding grants & contracts.	x	x	x	x	P	P	P	P	P	x
Interpret and provide guidance on regulations as they relate to the University.					x	x	P	x	x	x
Disseminate University policies related to grants and contracts.					P	x	x	x	x	x
Provide education and training in the responsible conduct of research.					x			P		

Proposal Development and Submission	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Identify funding sources/opportunities.		P								x (RFD)
Review proposal guidelines for risk; determine eligibility for funding.		x			P					P (RFD)
Coordinate programs where University is restricted in number of allowable submissions.					x					P (RFD)
Determine scope of work; prepare proposal per specified guidelines.	x	P								x
Develop budget and budget narrative sufficient to accomplish proposed work; revise as requested.	x	P			x					
Complete Financial Disclosure forms if required by sponsoring agency.		P								
Complete required UI documents indicating support for work.	x	P	x	x			x			
Review proposal and request changes as needed prior to agency submission.	x		x	x	P		x			
Review and approve any non-standard F&A (indirect cost) rates.					x		P			P
Sign on behalf of the University.							P			x
Submit proposal after all OSP approval has been received (Note: Some electronic systems may require OSP to submit).		P			x					

Compliance	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Be cognizant of applicable regulations and identify need for compliance review on External Support Form.		P			x			x		
Prepare protocol(s) and forward to the appropriate compliance committee.		P						x		
Oversee and manage compliance committees.								P		
Provide protocol approval letters to OSP.								P		
Monitor expiring protocols and update as needed thru completion date of project.		P						x		
Identify and disclose potential conflicts of interest.		P						x		
Review conflict of interest disclosures and management plans.					x			P	x	x
Submit Just-in Time information to sponsor.		x			P					

P = Primary Responsibility
x = Secondary Responsibility

Updated 1/2019

R E S P O N S I B I L I T I E S

Roles/Responsibilities Matrix - University of Idaho

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Cost Share/Matching Funds	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Review proposal guidelines to determine cost share/match requirement.		P			x					
Create a cost share plan and budget.	x	P	x							
Review and approve cost share plan.			P	P	x					
Expend and track cost share and provide information to OSP for reporting, as needed.	x	P			x					
Monitor cost share expenses for allowability and fulfillment of obligation.	P				x					

Program Income	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Determine whether program income may be generated by project and include in proposal budget to agency.		P			x					
Review guidelines to determine whether income additive, deductive or match.					P					
Receive program income and deposit appropriately; notify OSP when received via a GRT.	P	x								
Monitor program income expenses for allowability and report income to agency.					P					

Subcontracts Service & Consulting Agreements	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Identify the need for subaward(s)/subcontract(s) and include in proposal package along with letter of support from each subawardee. Add just. for selection.	x	P								
Verify eligibility of subrecipient.					x	P				
Setup separate subaward index(es) in Banner.					P					
Create purchase order (when applicable) and request issuance of sub. from OSP.	P	x								
Prepare and send subcontract.						P				
Negotiate subaward/subcontract.						P				
Monitor work progress and sign off on appropriateness of invoices. Forward to OSP.	x	P								
Review signed invoices and submit to accounts payable for payment.					P					

Post Award - Account Set Up	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Receive and process all incoming funding mechanisms, including awards & amendments.					P					
Negotiate or draft contract terms and conditions or amendments for the University.					x	P				
Sign as Authorized Organizational Representative for University on all contracts and agreements.					x		P			
Review and approve acceptance of award, including scope of work and technical reporting requirements.		P	x	x						
Verify that any required protocols and all other required documents are complete prior to setting up budget in Banner.					P			x		
Negotiate material transfer and confidentiality agreements.						x			P	

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R O L E S

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R E S P O N S I B I L I T I E S

Post Award - Account Monitoring & Financial	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Initiate purchases; review purchases for accuracy regularly.	x	P								
Monitor purchases for accuracy, allocability and allowability	x	P			x					
Review monthly reporting on purchases, available balances, and personnel; initiate any corrections in a timely manner.	x	P								
Intiate rebudgeting or cost transfer requests.	x	P			x					
Review and process rebudgeting or cost transfer requests.		P			P					
Monitor work progress and expenses and intiate prior approval requests, including no cost time extensions (NCTE), through OSP (APM 45.14) no later than 35 days prior to the change date or end-date. Note: Some agencies require more than 30 days notice.		P								
Review and sign prior approval requests and route to agency for a decision.					P		x			
Prepare and send financial reports as required by sponsor.	x				P					
Submit invoices and receive payments; monitor accounts receivable and follow up as needed.					P					
Prepare information for, and work with outside auditors on annual single audit per 2 CFR 200.					P					
Required monitoring of subrecipients per 2 CFR 200.					P					

Post Award - Non-Financial	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Hire or assign personnel for project.		P								
Conduct the sponsored project.		P								
Prepare and send technical reports as required by sponsor.		P			x					
Complete individual effort report (PAR) in accordance with University policy.		P								
Disclose and report invention information to OTT and iEdison.		P							x	
Complete agency patent reports and certifications as required by agency.		x			P				x	
Review and sign-off on sale of any equipment purchased with agency funds. **	x	x			P					

** Property monitoring and disposition is handled by Asset Management Office

Post Award - Closeout	DGA	PI	Chair	Dean	OSP	OSP-CR	OSP-Dir	ORA	OTT	ORED
Complete and submit final report and/or other deliverables within contract terms.		P								
Verify all allocable expenses have posted. Confirm unspent balance to OSP no less than 15 days prior to final invoice due date.	x	P			x					

Disclose and report final invention information to OTT and iEdison within 90 days of invention and/or project termination.		P							x	
Complete and send final agency patent reports and certifications as required.		x			P				x	
Complete final property reporting and ensure disposition instructions followed.	x	x			P					
Prepare and send final financial reports as required by sponsor within contract terms.	x				P					
Review statement of PI responsibilities letter and notice of protectable discoveries and return any comments to OSP within 30 days.	x	P								