

RESEARCH ADMINISTRATION RESPONSIBILITY MATRIX

Key to Other Responsible Parties: Export Control Office (ECO), Office of Technology Commercialization (OTC), Institute Advancement (IA), Payroll, Legal Counsel (Legal), Human Resources (HR), Accounts Payable (AP), Accounting (Acctg), Procurement, Compliance Review Board (RB)							Other Responsible Parties
Task	VPR	Portfolio / Dept / Center	Principal Investigator	Financial Manager	RAF Pre Award	RAF Post Award	Legal, ECO, OTC, Acctg, IA, Procurement, Payroll, HR, AP, RB, Institutional Research
STRATEGIC							
Direct and Guide the Institute's research mission	X						
Develop and direct new Institute research centers	X	X					
Management of existing research centers		Director					
Actively maintain relationships with industry and government entities	X	X			X	X	IA
Seek out funding opportunities	X	X	X				IA
Provide guidance on appropriate funding opportunities	X						IA
AUDITS							
Coordinate the A-133 and financial audits for the Institute						Director	
Provide support and/or source documentation requested by auditors			X	X	X	X	HR, AP, Procurement, Acctg
TRAINING							
Provide training and support to the research community on electronic proposal and award management systems used by Rensselaer (Cayuse, Fastlane, NIH Commons, etc)					X	X	
Provide training to the Research Administration and Finance staff on changes to federal policies and regulations and industry best practices	X				X	X	
Provide updates to the research community regarding changes to Institute and federal policies and regulations	X				X	X	
Provide training to the research community on compliance management systems (IRB Mentor, IACUC, FCOI, Citi)	X						
FEDERAL MANDATES / REPORTING (INSTITUTE LEVEL)							
NSF Higher Education Research and Development Survey					X	X	
NSF-NIH Survey of Graduate Students and Postdoctorates in Science and Engineering					X	X	Institutional Research
Star Metrics (not yet participating)					X	X	
ARRA (Stimulus - reporting ended Jan 2014)					X	X	
FCOI - Submit Financial Conflict of Interest Disclosure Form (All?)			X				
FCOI - Complete Citi Training			X				
FCOI - Verify Citi Training has been completed by all project personnel	X				X		
FCOI - Create Management Plan(s) for reported FCOIs							HR
FCOI - Identify awards which include staff with FCOIs					X	X	HR
FCOI - Identify NIH awards requiring annual reporting							HR
FCOI - NIH Report data entry into Commons					X	X	
EAR/ITAR/OFAC EC Deemed license applications							ECO

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PROPOSAL PREPARATION (see SUBAWARDS section for subaward tasks)							
Provide guidance on proposal preparation and final budget					X		
Review requirements in sponsor guidelines/solicitation			X		X		
Prepare "Project Information Form" (PIF)			X	X ¹			
Prepare preliminary budget			X	X ¹			
Prepare budget justification			X				
Create proposal in sponsor electronic system			X				
Prepare task budgets			X	X ¹			
Provide expenditure forecasting			X	X			
Identify Cost Share sources and obtain approvals			X				
Approve Cost Sharing	X	X					
Obtain Overhead Waiver approvals			X				
Approve Overhead Waivers	X						
Obtain IRB/Animals/BioHazard/Other safety approvals			X				
Review and Approve IRB/Animals/BioHazard/Other safety protocols							RB
Provide oversight and facilitation of compliance issues							ECO, RB
Coordinate Space Arrangements							Space Info Analyst
Circulate proposal documents for internal approval (EARS)					X		
Obtain internal approvals (EARS)			X		X		
Review and Approve proposal internally (EARS)	X (CS)	X	X and all Co-PIs				For all orgns involved: -Dept Chair/Center Director -Portfolio Dean/VP
Prepare and upload technical documents			X				
Provide preliminary info for Current & Pending					X		
Current & Pending support finalization			X	X ¹			
Determine if Small Business Subcontracting plan is required					X		
Prepare Small Business Subcontracting Plan							Procurement
Provide Small Business Subcontracting Plan to Sponsor					X		
Review, update and finalize budget					X		
Upload final budget to sponsor electronic system					X		
Review proposal for compliance with sponsor, institution and federal administrative requirements			X		X		
Review proposal for compliance with sponsor, institution, and federal technical requirements			X				
Submit proposal			X (when required by sponsor)		X		

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PREAWARD							
Review, negotiate and execute non-financial collaborative agreements (i.e., teaming, allocation of rights, memorandum of understanding, etc)					X		Legal
Obtain approvals and submit request for Bridge Funding			X	X			
Approve Bridge Funding		X			X		over \$500K: President
Establish Bridge Funding					X		
Monitor Bridge Funding			X	X			
Prepare and submit cost transfers if Bridge Funding is not awarded			X	X			
Process cost transfers if Bridge Funding is not awarded						X	
Request pre-award costs from RAF			X	X ¹			
Request pre-award cost approval from sponsor (if required)					X		
Establish pre-award spending					X		
Monitor pre-award spending			X	X		X	
Prepare budget revisions			X	X	X		
Prepare budget justifications as requested by sponsor			X				
Prepare technical or other revisions as requested by sponsor			X				
Review, update and finalize proposal revisions					X		
Submit proposal revisions to sponsor					X		
Receive notification of grant or contract award					X		
Review terms and conditions of award					X		Legal
Provide feedback on nonstandard terms and conditions when applicable					X		
Negotiate terms and conditions of award when necessary					X		

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AWARD							
Accept and execute award on behalf of Rensselaer					X		
Confirm protocols and approvals for compliance requirements are current at award initiation			X		X		
Ensure protocols and approvals for compliance requirements are kept current throughout life of project	X		X				
Oversee compliance with NSF Responsible Conduct for Research (RCR)	X						
Verify all students and postdoctoral researchers supported by NSF to conduct research have received RCR training.	X		X				
Verify compliance with Conflict of Interest policy (currently NIH only)			X		X		HR
Set up award and assign fund number					X		
Set up program code					X		
Process journal voucher for award amount					X		
Review award setup and notify PI and FM of fund number					X		
Allocate budget and budget revisions						X	
Set up, process changes, relieve encumbrances for tuition and stipend						X	
Direct charge and approve expenses			X	X			
Assist in Procurement Process				X			Procurement
Manage Property Inventory							Property Administration
Periodic review of award expenses			X	X		X	
Expenditure forecasting reports			X	X			
Prepare and submit Small Business Subcontracting Plan Reports							Procurement
Distribute Stop Work Orders received to Researchers, Pre-Award Grant Administrator, Financial Manager, and entire Post-Award staff			X	X	X	X	
Communicate with technical contact (i.e. sponsor program manager) regarding increments, extensions or award revisions and notify RA&F of status			X				
Communicate with administrative/grants contact (i.e. grants management specialist) regarding status of award documents once technical contact has authorized funding					X		
Submit change requests to sponsor (as needed - i.e. NCEs, budget, personnel, etc.)					X		
Notify appropriate offices of revisions to award					X		
Prepare and submit invoices to sponsors						X	IA
Receive and deposit payments from sponsors						X	IA
Produce and record letter of credit draw requests						X	IA
Pursue collections of overdue payments from sponsors						X	Legal

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AWARD (continued)							
Maintain and monitor program income			X	X		X	
Report on program income						X	
Prepare, submit and provide proof of submission of technical/progress reports			X				
Assist in preparation of Financial Reports when requested				X			
Prepare, submit and provide proof of submission of financial reports						X	
Prepare and submit cost transfer requests				X			
Approve and process cost transfers						X	Property/Equipment: Property Administration, Acctg
Certify interim work is complete			X				
Certify expenses are accurate			X	X ¹			
SUBAWARDS							
Gather and provide required subrecipient documents, including letters of commitment, statement of work, budgets, biosketches, etc.			X				
Complete "Request to Issue a Subaward" Form and submit to RAF with required attachments			X	X			
Review, update and finalize subrecipient documents					X		
Submit subaward documents to sponsor (with proposal if required)					X		
Prepare, negotiate and execute subaward agreement					X		
Issue subaward agreement to subrecipient					X		
Create requisition for subaward						X	
Approve requisition for subaward			X	X	Director		
Create PO for subaward and send to subawardee with billing information (DMR)							Procurement
Submit FFATA reports as required					X		
Complete "Request to Change Subaward" form (any changes, funding increases, extensions) and submit to RAF with required attachments			X	X			
Issue subaward amendments					X		
Submit subaward change request for Oscar/Banner					X		
Update subaward funding in Oscar/Banner							Procurement
Review and approve subaward invoices for payment			X			X	
Process subaward invoices for payment						X	AP
Request, obtain and review subrecipient A-133 audit reports annually					X		
Subrecipient monitoring					X	X	

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PERSONNEL AND EFFORT CERTIFICATION							
Initiate hiring and appointment process		X	X				
Identify and initiate any screenings required (i.e., e-Verify, foreign visitor screening, etc)				X	X (e-Verify)		HR, ECO
Export Control license requirements							ECO
Export Control Due Diligence							ECO
Complete necessary labor cost transfers to award charges or and/or payroll distribution				X		X	Payroll
Obtain necessary supervisory reviews and approvals for Effort Certification				X			
Verify accuracy of and sign completed effort certification			X				
Resolve problems or follow up on certifications not submitted			X	X		X	
PROJECT CLOSE-OUT							
Identify early close-out situations			X	X	X	X	
Ensure all appropriate expenditures have been posted to accounts			X	X		X	
Prepare final financial invoice						X	
Verify cash receipts (when necessary)						X	
Resolve issues related to unreconciled accounts						X	
Prepare, submit and provide proof of submission of final technical/progress reports			X				
Confirm submission of final technical/progress reports to sponsor					X		
Assist in preparation of final financial reports when requested				X			
Prepare, submit and provide proof of submission of final financial reports						X	
Provide information for non-financial administrative closeout documents (i.e., property, invention, etc)			X				OTC, Property Administration
Prepare and submit non-financial administrative closeout documents to sponsor (i.e., property, invention, etc)					X		
Certify final work is complete			X				
Certify expenses are accurate			X	X ¹			
Complete Certification Memo						X	
Inactivate award account(s) in financial accounting system (Banner)						X	
Retain official project closeout documents for sponsored projects per sponsor's record retention requirements					X	X	

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INTELLECTUAL PROPERTY (IP)							
Request a waiver from the University’s IP Policy for a specific sponsored project			X				
Review/recommend action on waiver of IP Policy on a specific sponsored project					X		OTC (Appeals Committee)
Review, Negotiate, and Execute MTAs			X		X		Legal
Review, Negotiate, and Execute Non-Disclosure Agreements (NDAs)			X		X		Legal
Review, Negotiate, and Execute Visiting Scientist Agreements					X		OTC, ECO, Legal
Evaluate commercial viability of University IP			X				OTC
Disclose IP to OTC, complete Invention Disclosure Forms			X				
Market, negotiate and enter into license agreements for University IP							OTC, ECO
Report Federally funded inventions to government (Bayh-Dole)			X		X		OTC
Receive Royalty Income and Process Distribution							OTC
Provide oversight of patent prosecution							OTC, Legal
EXPORT CONTROLS (EC)							
Review research award Terms and Conditions for EC language			X		X		ECO, Legal
Review research award Proposal Scope of Work for technology and equipment use			X		X		ECO, Legal
Identify concerns with foreign national staffing at project setup			X		X		HR, ECO, Legal
Monitor staffing for foreign national concerns throughout project life			X				HR, ECO
Provide guidance on Export Control licensing requirements							ECO
Negotiate Agreement to secure Fundamental Research Exclusion (FRE)			X		X		ECO, Legal
Manage Import/Export concerns regarding materials and equipment receipt and purchase							Procurement, ECO
Determine if a Technology Control Plan is required			X		X		ECO, Legal
Complete the Technology Control Plan			X				ECO

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