



Research Administration: Longwood Medical Area Roles and Responsibilities Matrix

April 24, 2012

*This Matrix seeks to identify commonly encountered pre- and post-award activities and to provide guidance regarding the responsible parties for each. **Please note:** This Matrix is not meant to be prescriptive or exhaustive and is subject to change.*

OTD's roles and responsibilities are listed as they relate to Industry Sponsored Research. Where OTD has Primary Responsibility, PI/ Dept. has the Supporting role. For the Close-Out Process, OTD has the Support Role for Federal Awards.

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	SPA/RES. ADMIN.	COST ANALYSIS	OSP	PI/ DEPT	OTD	ORC
RESEARCH ADMINISTRATION PROCESS						
PREAWARD						
Identification of Funding Opportunities						
Assist PI in interpreting eligibility for funding (including risk assessment)	S			R	R	
Assist PI in obtaining and interpreting guidelines	S			R	R	
Proposal Preparation						
Obtain and understand sponsor instructions for proposal preparation	S			R	R	
Identify and indicate Cost Sharing in proposal	S	S		R	S	
Identify and indicate approvals needed for proposal	S			R		
Provide guidance to PI on proposal preparation	S			R	R	
Develop and revise technical narrative				R	R	
Develop administrative pages of proposal	S			R	R	
Identify presence of provost criteria	S			R	R	
Ensure Faculty is not over maximum allowed effort	S	S		R		S
Identify subcontractors/collaborators and collect necessary paperwork	S			R	R	
Develop and revise budget in partnership with PI; ensure budget accuracy	S			R	S	
Proposal Review and Approval						
Review and approve before sending proposal to SPA/Res. Admin.				R	S	
Provide institutional review & approval of proposal and budget	R					
Send to Provost Office for review and approval when required	R				R	S
Review proposed Cost Sharing commitment for compliance with University policy and sponsor terms.	R	S		R	S	
Review non-standard F&A (indirect cost) rate	R					
Approve non-standard F&A (indirect cost) rate. (Dental School Financial Dean Approves)		R				
Review proposal to ensure approvals are properly identified for approval follow-up	R				S	S
Review subcontractors' proposals and check for their institutional approval	R					
Make revisions and corrections to proposal after institutional review	S			R	R	
Proposal Submission						
Submit proposals to sponsors	R			S	R	
Record proposal submission for tracking	R					
Pre-award Activities						
Prepare/collect additional paperwork for sponsor (JIT)				R	R	
Review, approve and submit additional paperwork to sponsor (JIT)	R				R	
Request advance account if needed	S			R		

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RESEARCH ADMINISTRATION PROCESS						
Approve and set up advance accounts	R				S	
POST AWARD						
Notice of Award, Review, and Acceptance						
Record award information in GMAS and upload document	R					
Review award notice for correctness	R			S	S	
Review and negotiate administrative terms and conditions in award notice	R			S	R	S
Review and negotiate on IP issues	R			S	R	
Review and negotiate financial (including reporting and invoicing) terms and conditions in award notice	R		S		R	
Review and negotiate Service, Consultant, Data Use, and Lease Agreements	S			R		
If awarded budget is different from that proposed, determine if change of scope, rebudgeting, or cost sharing is required	S	S		R		
Approve proposed Cost Sharing		R				
Accept terms and conditions of the award on behalf of the University	R				R	
Review the approved budget, terms and conditions of the award				R	R	S
Upload final award document into GMAS	R					
Send award notice to PI/department	R				R	
Award Set-Up						
Obtain needed internal approvals (e.g., Human subjects) (Dept). Verify internal approvals on proposal are received (SPA).	R			R		
Request specific sub-activity allocation amounts	S			R		
Identify amounts to be issued to subcontractors for GMAS setup	S			R		
Prepare and submit cost sharing form	S			R		
Review and approve cost sharing form		R				
Prepare segment revision to set up award and accounts, issue action memo	R					
Schedule financial reports and receivables in GMAS			R			
Schedule non-financial reports in GMAS				R		
Upload budget to general ledger				R		
Subcontracting out						
Create amendment record in GMAS	R			S		
Draft agreement and send to subrecipient	R			S		
Negotiate terms with subrecipient	R			S		S
Review and approve final subcontract document, upload to GMAS	R					
Issue action memo setting up account for subcontractor	R					
Award Management						
Coordinate administrative issue resolution with sponsors	R			S	R	
Coordinate financial issue resolution with sponsors	S		R	S	R	S
Coordinate administrative issue resolution with subcontractors	R			S		S
Coordinate financial issue resolution with subcontractors	S		R	R		S
UPAS or Re-budgeting: Initiate request (for change of scope, additional Subcontracts, F&A affected)				R		
UPAS or Re-budgeting: Approval request	R					
No-Cost Extensions: Initiate request	S			R	R	
No-Cost Extensions: Approve request	R					
Process award changes	R				R	
Identifies subcontract amendments and follow-up on status	R			R		

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RESEARCH ADMINISTRATION PROCESS						
Cost Sharing: Post and Track on GL		S		R		
Ensure complete and accurate documentation for any key personnel changes that arise (including new/old PI signature, sponsor approval)	S	S		R	S	S
Trainee Appointments: Prepare and submit via XTRAIN	S			R		
Trainee Terminations: Prepare in XTRAIN				R		
Trainee Terminations: Submit via XTRAIN	R					
Review award expenditures for allowability & allocability	S	S	S	R		
Retain documentation to support allocation of expenditures				R		S
Audit the allowability and allocability of expenditures			R			
Reconcile accounts on a monthly basis				R		
Cost transfers: Initiate journal and approval paperwork if needed				R		
Cost transfers: Approve under 90 days			R			
Cost transfers: Approve over 90 days		R	R			
Carry Forward - Automatic: process in GMAS			R	S		
Carry Forward - Sponsor approved: process in GMAS	R			S	S	
Invalid Code Combination Report: monthly review and resolution		S	S	R		
Program Income: Identify, report, and ensure posting to appropriate account codes			S	R		
Program Income: Manage reporting and billing			S	R		
Financial Reporting for all Sponsors						
Identify the need to bill & create invoice			R	S	S	
Identify the need for submission of a financial status report			R	S		
Notify departments of upcoming final financial reports			R			
Prepare invoices, cost sharing, and financial status reports			R	S		
Oversight by primary managing org to coordinate with Part-of Accounts and Subcontract contacts for compliance, billing, and reporting				R		
Obtain Department/PI approval and signoff on final figures and supporting documentation for cost sharing reporting				R		
Provide institutional approval on financial reports (OSP) including Relinquishing Statements (SPA)	S		R	S		
Submit invoices and financial status reports to sponsors			R	S		
Track submission of invoices and financial status reports			R			
Upload financial reports submitted to sponsor and supporting documentation to GMAS for audit purposes.			R			
Cash Management						
Accounts Receivable Management			R	S	S	
Manage cash (handling of checks, etc.) and deposits of checks			R	S		
Produce and record a letter of credit draw request for a specific funding agency			R			
Monitor and pursue the collections of overdue payments from sponsors	S		R	S		
Allocate income to accounts at closeout process			R			
Preparation and Submission of Technical Reports						
Identify the need for submission of technical reports				R	S	
Prepare technical reports				R	S	
Submit technical reports to sponsors				R	R	
Maintain official copies of technical reports in GMAS	S			R	S	
Certification of Time and Effort						

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RESEARCH ADMINISTRATION PROCESS						
Create and distribute certifications to faculty (monthly)				R		
Review, correct, and provide back-up to support monthly and annual certifications and review to faculty members				R		
Verify accuracy of and sign salary certification reports				R		
Retain copies of certifications and backup documentation		R		R		
Complete necessary adjustments to award charges and/or payroll distribution				R		
Print and distribute annual effort certification reports		R				
Reviews effort certifications for accuracy, adds notes to clarify, distributes to faculty and collects signed forms & return to Cost Analysis				R		
Review for appropriate signatures, log, file and maintain original forms		R				
Maintain control log to ensure that all certifications are received and follow-up on overdue certifications.		R				
Close-Out Process						
Identify close-out accounts/situations & GMAS Account Disabling			R	S		
Identify unresolved close-out-related items and communicate to affected parties			R	S		
Reconcile account to ensure Cost Sharing commitment has been fulfilled		S	S	R		
Ensure expenditures/cost transfers have been posted to accounts			S	R		
Unreconciled Accounts: Prepare report and resolve account issues	S		R	R		
Interest Income Transfer: OSP will notify Tub of interest income to be transferred.		S	R	S		
Ensure that all Financial Reports have been submitted to sponsor and available on GMAS Document Repository			R			
Ensure that all Final Invention Reports have been submitted to sponsor	R			R	R	
Ensure that all Patent Reports have been submitted to sponsor	R			R	R	
Account Disabling: Inactivate award account(s)			R	S		
Maintain official award documents for sponsored projects (see Record Retention Policy)	R					
A-133, A-110, A-21						
Comply with circulars and sponsor conditions for compliance	R		R	R		R
Coordinate the A-133 audit for the entire University			R			
When selected, responsible for responding to A-133 auditors transactional requests, completing the audit questionnaire, and participating in the audit interview with the PI		R	R	R		
Serve as liaison to OSP on coordination of SPH and HMS A-133 Audit		R				S

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