



## Research Administration: Longwood Medical Area Roles and Responsibilities Matrix

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

**R= Primary Responsibility - Responsible for action/implementation of tasks.**  
**S = Support/Consult as necessary**

|  | SPA/RES.<br>ADMIN. | COST<br>ANALYSIS | OSP | PI/DEPT | OTD | ORC |
|--|--------------------|------------------|-----|---------|-----|-----|
| <b>RESEARCH ADMINISTRATION PROCESS</b>   |                    |                  |     |         |     |     |
| <b>PREAWARD</b>  |                    |                  |     |         |     |     |
| <b>Identification of Funding Opportunities 2</b>   |                    |                  |     |         |     |     |
| Assist PI in interpreting eligibility for funding (including risk assessment)                    | S                  |                  |     | R       | R   |     |
| Assist PI in obtaining and interpreting guidelines   | S                  |                  |     | R       | R   |     |
| <b>Proposal Preparation</b>  |                    |                  |     |         |     |     |
| 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   |     |
| <b>Proposal Review and Approval</b>  |                    |                  |     |         |     |     |
| 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   |     |
| <b>Proposal Submission</b>   |                    |                  |     |         |     |     |
| Submit proposals to sponsors   | R                  |                  |     | S       | R   |     |
| Record proposal submission for tracking  | R                  |                  |     |         |     |     |
| <b>Pre-award Activities</b>  |                    |                  |     |         |     |     |
| 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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|   | SPARES.<br>ADMIN. | COST<br>ANALYSIS | OSP | PI/ DEPT | OTD | ORC |
|---|-------------------|------------------|-----|----------|-----|-----|
| <b>RESEARCH ADMINISTRATION PROCESS</b>  |                   |                  |     |          |     |     |
| Approve and set up advance accounts   | R                 |                  |     |          | S   |     |
| <b>POST AWARD</b>   |                   |                  |     |          |     |     |
| <b>Notice of Award, Review, and Acceptance</b>  |                   |                  |     |          |     |     |
| 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   |     |
| <b>Award Set-Up</b>   |                   |                  |     |          |     |     |
| 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        |     |     |
| <b>Subcontracting out</b>   |                   |                  |     |          |     |     |
| 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                 |                  |     |          |     |     |
| <b>Award Management</b>   |                   |                  |     |          |     |     |
| 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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| <b>RESEARCH ADMINISTRATION PROCESS</b>   |                    |                  |     |          |     |     |
| 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        |     |     |
| <b>Financial Reporting for all Sponsors</b>  |                    |                  |     |          |     |     |
| 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   |          |     |     |
| <b>Cash Management</b>   |                    |                  |     |          |     |     |
| Accounts Receivable Management (See AR Mgt Matrix @ OSP Website) 3   |                    |                  | 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   |          |     |     |
| <b>Preparation and Submission of Technical Reports</b>   |                    |                  |     |          |     |     |
| 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   |     |
| <b>Certification of Time and Effort</b>  |                    |                  |     |          |     |     |

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| <b>RESEARCH ADMINISTRATION PROCESS</b>   |                    |                  |     |          |     |     |
| 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                |     |          |     |     |
| <b>Close-Out Process</b>   |                    |                  |     |          |     |     |
| 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                  |                  |     |          |     |     |
| <b>A-133, A-110, A-21</b>  |                    |                  |     |          |     |     |
| 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   |

1 OTD's roles and responsibilities as it relates 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.

2 For information on Limited submissions, please visit the OVP website: <http://vpr.harvard.edu/content/limited-submissions>

3 For information on Account Receivable Mgt Roles & Responsibilities Matrix, please visit the OSP Website: <http://osp.fad.harvard.edu/content/account-receivable-management-roles-responsibilities>