

Office of Research Administration – Roles and Responsibilities Matrix

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Roles and Responsibilities

Submitting proposals, executing awards, conducting research, and administrating sponsored projects involves many different people and units throughout the University of Miami campuses. While there may be some minor variations in processes from Department to Department and College to College, the matrix below outlines the general process and identifies the appropriate party that has primary responsibility for different activities throughout the life cycle of a sponsored award.

Identification of Funding Opportunities

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, VPR)
Search for Opportunities	X				
Provide guidance on funding opportunities		X	X		VPR

Proposal Preparation

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, VPR)
Write technical narrative	X				
Identify subcontractors and request budget and workscope materials	X	X			
Develop budget	X	X			
Identify need for cost sharing funds and obtain documentation for cost share support	X	X			
Evaluate requests for F&A waivers or reductions		X	X		VPR
Coordinate space arrangements		X			
Provide guidance on proposal preparation		X	X		
Complete and ensure accuracy of the Proposal Routing Form (PCRF)	X	X			

Regulatory Requirements

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, VPR)
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional BioSafety, Dept. of Health and Safety, Financial Conflict of Interest Disclosures, Conflict of Interest forms etc.	X				HSRO, IACUC, IBC, EH&S, DCM
Reviews and endorses compliance forms as needed		X			HSRO, IACUC, IBC, EH&S, DCM
Institutional oversight and facilitation of compliance issues			X	X	VPR
Ensure that protocols and approvals for regulatory compliance requirements are kept current throughout the life of the project as required	X	X			HSRO, IACUC, IBC, EH&S, DCM

Proposal Review and Approval

Roles and Responsibilities	PI	Dept/ College	Pre-Award ORA	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Confirm that proposal meets sponsor requirements (text, margins, font, page limits, etc)	X	X			
Review proposal before sending proposal to ORA	X	X			
Verify that cost sharing in proposal is listed and that all commitments have been secured	X	X			
Review proposed cost sharing for appropriateness	X	X			
Programmatic review of proposal and sign PCRf for routing	X	X			
Provide institutional review and approval of proposal			X		

Proposal Submission

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Electronic Submission			X – unless deviation is agreed to by ORA		
Paper Submission	X – after ORA signoff	X – after ORA signoff			

Advance Accounts

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Request advance account	X	X	X		
Establish advance account				X	
Monitor advance account	X	X		X	

Award Acceptance

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Accept sponsor notification of grant or contract award			X		
Review and negotiate terms and conditions for Grants, Contracts, Cooperative Agreements, incoming MTA's, Equipment Loan Agreements, and other types of funding			X		
Provide feedback on nonstandard terms and conditions when applicable	X	X	X	X	OTT
Negotiate & execute contractual terms and conditions			X		
Review and accept award terms and conditions				X	

Award Set-up

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial account set-up	X	X	X	X	
Review award budget	X	X		X	
Establish account number				X	

Award Administration

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Prepare financial transactions		X			
Initiate re-budgeting requests	X	X			
Obtain sponsor approval of re-budgeting requests, where required		X		X	
Initiate no cost extensions	X	X			
Submit no cost extension notifications to sponsor as required	X	X		X	
Request no cost extension from sponsor as required	X	X	X		
Ensure that cost sharing is documented	X	X		X	
Initiate purchases via PCard or with Procurement as appropriate	X	X			
Review and approve financial transactions (thresholds incl.)	X	X		X	
Use financial reports to monitor and oversee expenditures	X	X		X	
Review and reconcile accounts on a monthly basis	X	X			
Coordinate resolution of issues on oversight reports				X	
Audit expenditures				X	

Program Income

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Identify program income	X	X	X		
Invoice program income		X			
Receive and deposit program income		X		X	
Identify use and reportability of program income		X		X	
Monitor program income levels	X	X		X	

Invoicing & Financial Reporting

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Prepare and submit the invoice or financial report		X (occasionally in conjunction w/ ORA)		X	

Invoices – Pharmaceutical Clinical Trials

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Submit Case Reports to Sponsor's Portal		X			
Create Adhoc Invoice in Velos		X			

Accounts Receivable Management

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Receive and deposit payments from sponsors				X	
Produce and record a letter of credit draw request (federal awards)				X	
Monitor and pursue the collections of overdue payments from sponsors				X	

Prior Approvals

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Initiate prior approvals for changes to project	X	X			
Request and obtain prior approval from the sponsor			X		
Ensure regulatory compliance offices are notified of changes to project	X	X			

Subcontracts and Subawards

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Submit Subaward and Subaward Modification Requests to ORA	X	X			
Oversee programmatic aspects of subaward	X				
Prepare, negotiate, and execute subawards			X		
Review, approve and forward subaward invoices for payment	X				Accounts Payable
Subrecipient monitoring	X	X	X	X	

Subcontracting Plan

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Determine if a Small Business Subcontracting Plan is Needed	X	X	X		
Prepare Small Business Subcontracting Plan	X	X	X		Supply Chain Services, Diversity
Provide Small Business Subcontracting Plan to Sponsor			X		
Prepare and Submit Small Business Subcontracting Plan Reports		Input provided by Dept.		X	Supply Chain Services

Technical Data and Reports

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Ensure integrity of all research data	X	X			
Prepare and submit annual technical reports to sponsor	X		X		
Prepare and submit final technical reports to sponsor	X			X	
Maintain the official copy of the technical report	X	X		X	

Personnel and Effort Certification/Salary Confirmation

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Initiate hiring and appointment process	X	X			
Identify and initiate any screenings required (e-Verify, foreign visitor screening)	X	X			
Complete necessary adjustments to award charges or and/or payroll distribution		X			
Obtain necessary supervisory reviews and approvals		X			
Ensure accuracy of completed effort certification	X	X			ORA SI
Resolve problems or follow up on certifications not submitted		X			ORA SI

Project End and Close-out

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Identify early close-out situations	X	X	X	X	
Ensure all appropriate expenditures have been posted to accounts		X			
Prepare final financial invoice/report				X	
Resolve issues related to unreconciled accounts		X		X	
Ensure that all financial reports have been submitted to sponsor				X	
Monitor submission of Final Technical Reports to sponsor	X			X	
Monitor submission of Final Invention reports to sponsor				X	OTT
Monitor submission of Patent reports to sponsor				X	OTT
Inactivate award account(s) in financial accounting system				X	
Maintain official project closeout documents for sponsored projects		X		X	OTT

Audits

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Point of contact liaison for all sponsored audits				X	VPR for FDA Audits
Coordinate the Single audit for the University				X	
Provide support and/or source documentation as requested by auditors	X	X	X	X	OTT, Supply Chain, and VPR

Ongoing Training

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Remain current regarding changes to policies and regulations	X	X	X	X	ORA – SI
Provide training opportunities to the research community regarding policies and regulations			X	X	ORA - SI

Intellectual Property (IP)

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, VPR)
Request a waiver from the University's IP Policy for a specific sponsored project	X	X			
Review/recommend action on waiver of IP Policy on a specific sponsored project			X		VPR
Review, Negotiate, and Execute Inbound MTA's			X		
Review, Negotiate, and Execute Outbound MTA's					OTT
Evaluate commercial viability of University IP					OTT
Disclose IP to OTC, complete Invention Disclosure Forms	X	X			
Market, negotiate and enter into license agreements for University IP					OTT
Report Federally funded inventions to government (Bayh-Dole)					OTT
Receive Royalty Income and Process Distribution					OTT
Provide oversight of patent prosecution					OTT

Definitions:

Principal Investigator (PI)

The individual designated by the University, and approved by the Sponsor, who will be responsible for the scientific/technical design, conduct and reporting of a sponsored project.

Department

The unit within a particular college at the University that provides administrative support for sponsored projects.

College

Colleges (or Schools) house individual departments, grouped by specific disciplines, which provide the overarching financial, supervisory and administrative oversight to its departments.

Office of Research Administration (ORA Pre-Award)

On behalf of the University, and with the delegation of signature authority on behalf of UM, ORA facilitates the submission of all sponsored projects proposals, negotiates and executes agreements, provides sponsored projects education and communication, and assists faculty, staff, and students in managing projects which are awarded to the University

Office of Research Administration (ORA Post-Award)

The ORA Post-Award Unit performs the following functions: maintain official UM financial oversight of sponsored project accounts on behalf of the University, invoice sponsors or draw down funds from sponsors, submit financial reports, assist faculty, staff and students in the financial aspects of sponsored awards, primary responsibility for effort reporting and serve as the primary point of contact for auditors.

Office of Research Administration (ORA SI - Strategic Initiatives)

The ORA Strategic Initiatives unit performs the following functions: Internal and external reporting for sponsored data, oversees effort reporting and project certification, supports electronic submission platforms, prepare the indirect cost proposal and negotiation, performs data review /retention and develops website and training development for sponsored activities.

Office of Technology Transfer (OTT)

The Office of Technology Transfer provides expert guidance, support, and assistance in safeguarding intellectual property, encouraging research, facilitating technological transfer, and promoting collaborative technology transfer and development agreements with industrial partners.

Supply Chain Services

The Department of Procurement and Supply provides the following services: establishes and administers procurement contracts effectively; procures facilities, goods and services for best value; Delegates procurement authority to promote efficiency; provides value-added physical distribution services; ensures University business is conducted in a fair and open environment, in full compliance with applicable laws and regulations.

Vice Provost for Research (VPR)

The VPR provides oversight and support to