### Division/Neighborhood Operations

<table>
<thead>
<tr>
<th>Principal Investigators</th>
<th>Research Grant Specialists</th>
<th>Research Administrative Coordinators</th>
<th>Research Managers</th>
<th>Grants and Contracts Officers</th>
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<tbody>
<tr>
<td>PI</td>
<td>RM</td>
<td>DA</td>
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</table>

### Roles and Responsibilities Matrix - Pre-Award

#### Proposal Preparation
- Complete Pre-Submission Federal Proposal information by notifying Research Navigators 10 weeks prior to submission deadline
- Develop Research Strategy and Proposal scientific documents
- Inform RM or OSP of Key Personnel and collaborators
- Request Matching Funds or Cost Sharing Approval if necessary
- Obtain and understand sponsor instructions for proposal preparation, in conjunction with OSP
- Ensure file sharing mechanism in place between PI, RM, OSP and sub-recipients as necessary
- Prepare with PI proposal documents and draft agency forms for OSP review
- Collect sub-recipients/collaborators budgets and proposal documentation
- Devise budget in partnership with PI
- Ensure Faculty have plan to avoid exceeding maximum allowed effort
- Approve Matching Funds and Cost Sharing approval if necessary
- Verify salary levels for proposed staff

#### Proposal Review and Approval
- Verify accuracy of proposal routing form and ensure internal approvals are completed
- Review sub-recipient proposals and collaborator documentation, ensure sponsor and institutional compliance and sub-recipient endorsement including risk assessment
- Ensure COI compliance for Key Personnel and sub-recipient Key Personnel
- Provide institutional review and approval of proposal including review of budget, key personnel and compliance
- Provide feedback and final steps as needed
- Submit proposal on behalf of Lurie Children's and ensure receipt by sponsor agency
- Provide costing information for supplies and assays (i.e., developing total costs per sample) to PI and RM

#### Pre-Award Activities
- Notify RM and OSP of Post-Submission Additional Materials
- Prepare publication listing or other Post-Submission Additional Materials for PI and OSP review
- Prepare/collaborate additional paperwork for sponsor (JIT)
- Obtain and track proposal review date
- Review, certify/approve and submit Post-Submission Materials and JIT additional documents to sponsor
- Endorse and route pre-award notification process with SharePoint Task to PAFM
- Request pre-award Fund if needed
- Approve and set-up pre-award Fund and provide Fund Number to PI, RM, DA, RBM and OSP

### Effective as of July 1, 2019
## Sponsored Programs Roles and Responsibilities Matrix

### Grant and Contract Awards

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<tr>
<th>Division/Neighborhood Operations</th>
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<tr>
<td>Principal Investigators PI</td>
<td>RM</td>
<td>RBM</td>
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<td>Research Grant Specialists</td>
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<td>Practice Managers</td>
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<tr>
<td>Division Administrators DA</td>
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<td>Grant Accountants PAFM</td>
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</table>

### Post-Award Notice of Award, Review and Acceptance

- **Prior Award**
  - Review the approved budget, terms and conditions of the award
  - If awarded budget is different from that proposed, determine if change of scope, rebudgeting, or cost sharing is required

- **Award Set-up**
  - Provide revised initial and subsequent year budgets to PI and RM
  - Enter Award information, awarded budget and reporting deliverables into Lawson and provide Award Notification and Fund Number(s) to PI, RM, DA, RBM and OSP
  - Enter Award information, awarded budget and reporting deliverables into Lawson and sponsor requirements

- **Award Management**
  - Review financial (including invoicing) terms and conditions in award notice if different than standard
  - Review the approved budget, terms and conditions of the award
  - Review expenditure in compliance with Uniform Guidance (UG) cost principles

### Research Administrative Coordinators RM

- Assist RBM if awarded budget is different from the proposed
- Assist PI with Award Summary Actions
- Review the approved budget, terms and conditions of the award
- Review financial (including invoicing) terms and conditions in award notice if different than standard

### Research Business Managers RBM

- Provide revised initial and subsequent year budgets to PI and RM
- Enter Award information, awarded budget and reporting deliverables into Lawson and sponsor requirements

### Grant Accountants PAFM

- Review financial (including invoicing) terms and conditions in award notice if different than standard
- Review the approved budget, terms and conditions of the award
- Review financial (including invoicing) terms and conditions in award notice if different than standard

### Division Administrators DA

- Assist PI with Award Summary Actions
- Assist PI with verification of consortium and contractual entities
- Enter labor distributions into Lawson
- Communicate resource requirements on behalf of the PI as needed
- Notify PAFM of new award
- Record sponsor effort commitments for all Lurie Children’s key personnel in Cayuse
- Notify PAFM of new award

### Grants and Contracts Officers OSP

- Assist PI with Award Summary Actions
- Assist PI with verification of consortium and contractual entities
- Enter labor distributions into Lawson
- Communicate resource requirements on behalf of the PI as needed
- Notify PAFM of new award
- Record non-financial deliverables/reports due
- Negotiate and execute consortium/contractual agreements; record and upload into Cayuse and notify RM, RBM and PAFM
- Endorse and submit post-award requests needing sponsor approval
- Endorse and submit post-award requests needing sponsor approval including PI changes, budget modifications, changes in effort, carryforward requests and no cost extensions

### Research Grant Specialists

- Process expenditures in compliance with sponsor requirements and Lurie Children’s policies and procedures within available budget
- Assist PI with prior approval requests requiring sponsor approval
- Update and maintain PI Other Support form in conjunction with Cayuse SP data
- Work with RBM to ensure grants are charged appropriate cost including regular salary support
- Identify cost centers for unallowable costs and Award budget deficits
- Enter revised labor distributions into Lawson
- Ensure divisional staff have access to necessary systems
- Endorse and submit post-award requests needing prior sponsor approval including PI changes, budget modifications, changes in effort, carryforward requests and no cost extensions
- Accept prior approval changes on behalf of PI and Lurie Children’s
- Communicate sponsor decision on post-award requests to PI, RM, DA, RBM and PAFM
- Review and process all out-going consortium/contractual amendments or new agreements; record and upload into Cayuse; notify RM, RBM and PAFM
- Secure and execute continuation agreements or amendments from sponsor for multi-year projects and notify PAFM
- Provide financial monitoring with Lawson budget and expense details including forecasts and encumbrances to PI, RM and DA
- Review expenditure in compliance with sponsor requirements
- Initiate cost transfer requests with supporting documentation
- Notify PI, RM and DA 90 days prior to Budget Period End Date
- Work with PI and RM on expenditure plan for ending budget period
- Provide guidance prior approval requests, as needed

### Research Business Managers RBM

- Provide revised initial and subsequent year budgets to PI and RM
- Enter Award information, awarded budget and reporting deliverables into Lawson and sponsor requirements
- Provide Award Notification and Fund Number(s) to PI, RM, DA, RBM and OSP
- Enter Award information, awarded budget and reporting deliverables into Lawson and sponsor requirements

### Assistant

- Review financial (including invoicing) terms and conditions in award notice if different than standard
- Review the approved budget, terms and conditions of the award
- Review financial (including invoicing) terms and conditions in award notice if different than standard

### Grant Accountants PAFM

- Review financial (including invoicing) terms and conditions in award notice if different than standard
- Review the approved budget, terms and conditions of the award
- Review financial (including invoicing) terms and conditions in award notice if different than standard

### Study Administrator

- Review financial (including invoicing) terms and conditions in award notice if different than standard
- Review the approved budget, terms and conditions of the award
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### Sponsored Programs Roles and Responsibilities Matrix

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#### Reporting, Cash Management and Compliance

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<tr>
<td><strong>Reporting</strong></td>
<td>• Prepare and submit interim/annual and final technical reports to OSP</td>
<td>• Assist PI in preparation of interim and final reports required for Award</td>
<td>• Notify PI, RM and RMB 60 days prior to non-financial deliverables and reporting due dates</td>
<td>• Prepare financial and personnel information required in any non-financial reporting</td>
<td>• Prepare and submit financial status reports (FFRs) and cost sharing including Relinquishing Statements to sponsor</td>
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<td><strong>Invoicing</strong></td>
<td>• Communicate completion of milestones and deliverables to RM</td>
<td>• Prepare and submit milestone/deliverable invoices</td>
<td>• Ensure submission of milestone/deliverable invoices to sponsor</td>
<td>• Close active record in Cayuse SP</td>
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<tr>
<td><strong>Compliance</strong></td>
<td>• Coordinate with PI, DA, OSP, RMB and PAFM in areas of compliance with Award terms and conditions, as required</td>
<td>• Coordinate with PI, RM, RMB, OSP and PAFM in areas of compliance with Award terms and conditions, as required</td>
<td>• Review and address COI per Award, in conjunction with ORIC</td>
<td>• Coordinate with PI, RM, DA, OSP and PAFM in areas of compliance with Award terms and conditions, as required</td>
<td>• Develop controls in compliance with UG including audit requirements</td>
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</tr>
<tr>
<td><strong>Close Out</strong></td>
<td>• Contact ORIC/NU with regards to IACUC, IRB, Biohazard and rDNA protocol development</td>
<td>• Ensure COI disclosures consistently updated in alignment with policy</td>
<td>• Review, endorse and submit final technical reports, financial reports as applicable</td>
<td>• Ensure expenditures and cost transfers have posted to Fund</td>
<td>• Ensure unresolved close out related items and communicate to affected parties</td>
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<tr>
<td><strong>Effort Certification</strong></td>
<td>• Retain project data/materials as required</td>
<td>• If applicable, comply with COI management plan</td>
<td>• Assist PAFM with audit as necessary</td>
<td>• Maintain sponsor committed effort data in Cayuse SP</td>
<td>• Identify unresolved close out related items and communicate to affected parties</td>
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<tr>
<td><strong>Risk Management</strong></td>
<td>• Ensure all disclosures, final invention and patent reports have been submitted to OSP and sponsor</td>
<td>• Assist PAFM with audit as necessary</td>
<td>• Assist PAFM with audit as necessary</td>
<td>• Maintain sponsor committed effort data in Cayuse SP</td>
<td>• Reconcile Fund to ensure cost sharing commitment has been fulfilled</td>
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<tr>
<td><strong>Cost Distribution</strong></td>
<td>• Verify accuracy and sign effort certification statement</td>
<td>• Coordinate quarterly signature process with designated PIs</td>
<td>• Enter revised labor distribution into Lawson</td>
<td>• Complete necessary adjustments to award charges and/or payroll distribution</td>
<td>• Review for appropriate signature, log and maintain original forms for audit purposes</td>
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Effective as of July 1, 2019