

Sponsored Programs Roles and Responsibilities Matrix

Grant and Contract Awards

	Division/Neighborhood Operations					
<i>Principal Investigators</i> PI	<i>Research Grant Specialists</i> <i>Research Administrative Coordinators</i> <i>Research Managers</i> RM	<i>Division Administrators</i> <i>Practice Managers</i> DA	<i>Grants and Contracts Officers</i> OSP	<i>Research Business Managers</i> RBM	<i>Grant Accountants</i> PAFM	
Pre-Award						
Proposal Preparation						
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 Develop budget in partnership with PI 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Confirm eligibility and clarify guidelines with sponsor as necessary Prepare and provide timeline, checklist and current templates to RM and PI Convene planning meeting(s) with OSP, PI, RM and Research Navigator, as necessary Advise PI and RM on proposal and budget and proposal components 	<ul style="list-style-type: none"> Provide costing information for supplies and assays (i.e., developing total costs per sample) to PI and RM 		
Proposal Review and Approval						
<ul style="list-style-type: none"> Review proposal documents including budget 	<ul style="list-style-type: none"> Prepare proposal routing form in Cayuse SP Work with PI to ensure documents provided to OSP for review following internal submission guidance 	<ul style="list-style-type: none"> Assess PI with resource requirement requests, as needed 	<ul style="list-style-type: none"> 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 			
Pre-Award Activities						
<ul style="list-style-type: none"> Notify RM and OSP of Post-Submission Additional Materials 	<ul style="list-style-type: none"> Prepare publication listing or other Post-Submission Additional Materials for PI and OSP review Prepare/collect additional paperwork for sponsor (JIT) 	<ul style="list-style-type: none"> Review and approve pre-award Fund request 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Request pre-award Fund if needed 	<ul style="list-style-type: none"> Approve and set-up pre-award Fund and provide Fund Number to PI, RM, DA, RBM and OSP 	

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Post-Award						
Notice of Award, Review and Acceptance						
<ul style="list-style-type: none"> Review the approved budget, terms and conditions of the award Complete Award Summary Actions from Award Setup Documents 	<ul style="list-style-type: none"> Assist RBM if awarded budget is different from the proposed Assist PI with Award Summary Actions 		<ul style="list-style-type: none"> Review award notice for accuracy and negotiate administrative and contractual terms and conditions Consult PI on programmatic or significant budgetary changes upon review of award; share with RBM Ensure COI compliance for Key Personnel; consult with ORIC for COI review Accept award on behalf of PI and Lurie Children's Record and upload award documents into Cayuse 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Review financial (including invoicing) terms and conditions in award notice if different than standard 	
Award Set-up						
<ul style="list-style-type: none"> Verify and/or update sub-recipient and collaborator scopes and budgets with RM, RBM and OSP staff 	<ul style="list-style-type: none"> Assist PI with verification of consortium and contractual entities 	<ul style="list-style-type: none"> Enter labor distributions into Lawson Communicate resource requirements on behalf of the PI, as needed 	<ul style="list-style-type: none"> Notify PAFM of new award Record sponsor effort commitments for all Lurie Children's key personnel in Cayuse Record non-financial deliverables/reports due Negotiate and execute consortium/contractual agreements; record and upload into Cayuse and notify RM, RBM and PAFM 	<ul style="list-style-type: none"> Provide revised initial and subsequent year budgets to PI and RM Confirm labor distribution and effort commitments Set-up Financial Projection Summary with budget and personnel commitments, send to PI, RM and DA 	<ul style="list-style-type: none"> 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 Set-up non-Lurie salary journal entries Ensure funds established within purchasing systems 	
Award Management						
<ul style="list-style-type: none"> Conduct the research Oversees scientific integrity of project and ensure project narrative work plan is fully implemented and executed Supervises project staff Comply with all federal, state, agency and Lurie Children's policies and procedures Oversee budget management and responsible for all expenditures Ensure work provided on project is consistent with the effort expended and sponsor commitments 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Enter post-award sponsor approvals -- awarded budget line modifications, carryforward, end dates, etc. into Lawson Review supporting documentation and approve cost transfer requests Approve expense in compliance with Uniform Guidance (UG) cost principles 	

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Reporting, Cash Management and Compliance						
Reporting						
<ul style="list-style-type: none"> • Prepare and submit interim/annual and final technical reports to OSP • Oversee work scopes and authorize payments for work performed by collaborators and sub-recipients 	<ul style="list-style-type: none"> • Assist PI in preparation of interim and final reports required for Award • Coordinate submission of reports with OSP, RBM and PAFM 		<ul style="list-style-type: none"> • Notify PI, RM and RBM 60 days prior to non-financial deliverables and reporting due dates • Review, endorse and submit non-financial, technical and programmatic reports to sponsor, and financial reports as applicable • Record submission of non-financial deliverables and reports in Cayuse • Maintain non-financial report and documentation submitted to sponsor 	<ul style="list-style-type: none"> • Prepare financial and personnel information required in any non-financial reporting • Obtain PI approval and signoff on final figures and supporting documentations for financial reporting including cost share • Works with PAFM on final expenditures for financial report 	<ul style="list-style-type: none"> • Prepare and submit financial status reports (FFRs) and cost sharing including Relinquishing Statements to sponsor • Maintain financial report and documentation submitted to sponsor for audit purposes 	
Invoicing						
<ul style="list-style-type: none"> • Communicate completion of milestones and deliverables to RM 	<ul style="list-style-type: none"> • Prepare and submit milestone/deliverable invoices • Forward invoice copy to PAFM 	<ul style="list-style-type: none"> • Ensure submission of milestone/deliverable invoices to sponsor 			<ul style="list-style-type: none"> • Identify billing terms • Prepare and submit cost reimbursement invoices quarterly to sponsor • Manage cash, deposit checks and pursue collections of overdue sponsor payments • Produce and record letter of credit draw requests • Recognize revenue 	
Compliance						
<ul style="list-style-type: none"> • Contact ORIC/NU with regards to IACUC, IRB, Biohazard and rDNA protocol development • Ensure COI disclosures consistently updated in alignment with policy • If applicable, comply with COI management plan • Assist PAFM with audit as necessary 	<ul style="list-style-type: none"> • Coordinate with PI, DA, OSP, RBM and PAFM in areas of compliance with Award terms and conditions, as required • Assist PAFM with audit as necessary 	<ul style="list-style-type: none"> • Coordinate with PI, RM, RBM, OSP and PAFM in areas of compliance with Awards terms and conditions, as required • Assist PAFM with audit as necessary 	<ul style="list-style-type: none"> • Review and address COI per Award, in conjunction with ORIC • Provide compliance documentation to sponsor (IRB, IACUC) including sub-recipient documents • Notify sponsor of COI and/or Management Plan per sponsor requirements • Assist PAFM with audit as necessary 	<ul style="list-style-type: none"> • Coordinate with PI, RM, DA, OSP and PAFM in areas of compliance with Award terms and conditions, as required • Assist PAFM with audit as necessary 	<ul style="list-style-type: none"> • Develop controls in compliance with UG including audit requirements • Ensure costs are not incurred on Awards without appropriate regulatory approval • Serve as contact for all audits • Communicate audit expectations and deadlines • Coordinate the annual UG audit 	
Close Out						
<ul style="list-style-type: none"> • Retain project data/materials as required • Ensure all disclosures, final invention and patent reports have been submitted to OSP and sponsor 	<ul style="list-style-type: none"> • Address any unresolved close out related items 	<ul style="list-style-type: none"> • Address any unresolved close out related items 	<ul style="list-style-type: none"> • Review, endorse and submit final technical reports and final invention reports, and financial reports as applicable • Close active record in Cayuse SP 	<ul style="list-style-type: none"> • Ensure expenditures and cost transfers have posted to Fund • Address any unresolved close out related items 	<ul style="list-style-type: none"> • Identify unresolved close out related items and communicate to affected parties • Reconcile Fund to ensure cost sharing commitment has been fulfilled • Inactive Fund in Lawson 	
Effort Certification						
<ul style="list-style-type: none"> • Verify accuracy and sign effort certification statement • Submit signed statement to PAFM 	<ul style="list-style-type: none"> • Coordinate quarterly signature process with designated PIs 	<ul style="list-style-type: none"> • Enter revised labor distribution into Lawson 	<ul style="list-style-type: none"> • Maintain sponsor committed effort data in Cayuse SP 	<ul style="list-style-type: none"> • Complete necessary adjustments to award charges and/or payroll distribution 	<ul style="list-style-type: none"> • Create and distribute quarterly effort certification statements to PI • Notify RBM when change noted on statement to reconcile the difference • Review for appropriate signature, log and maintain original forms for audit purposes 	