

**Matrix of Roles and Responsibilities of the Research, Scholarly and Creative Enterprise at the
University of Central Arkansas**

SPARC = Sponsored Programs and Research Compliance; GACC = Grants Accounting; PI = Principal Investigator or Program Director; DEPT = Department; DEAN = College; **Bold X = Primary responsibility**; X = Secondary

Prepared by T Atkinson 20-Apr-09	SPARC	GACC	PI	DEPT	DEAN	AUDIT	Comments/Notes
Administer Federal, Sponsor and University Regulations							
Store all relevant policies/regulations either in hard copy or electronic format	X	X					Completed Jan 09
Monitor and update documents for changes	X	X					Completed Jan 09
Communicate changes to UCA personnel	X	X					With Training
Retrieve policies/regulations as needed	X	X					Completed Jan 09
Interpret regulations, policies, and procedures	X	X					Completed Jan 09
Develop UCA policies and procedures	X	X					Completed Jan 09
Continuous Training							
Provide training to the research community regarding changes to policies and regulations	X	X					Underway. GACC helps with financial
Identification of Funding Opportunities							
Gathers and reviews information on funding programs--private and governmental--that award grants and contracts to support scholarly, instructional, and community service activities; keeps abreast of agency interests and funding patterns.	X		X				

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Disseminates funding opportunities and information to appropriate university personnel, by means of email distribution lists and URSA.	X						
Maintains a database of faculty research and scholarly interests through SPIN/SMARTS	X						
Performs database searches for funding opportunities and fellowships on behalf of faculty, graduate students, and staff.	X						
Subscribes to web-based services, providing grants databases, grants newsletters, and SPIN/SMARTS and GRC services to the university community on the SPARC web site.	X						
Supplies application forms, guidelines, grant program announcements, requests for proposals, and program interests to faculty, students and staff through URSA and other means.	X						
Provide expert guidance on funding opportunities	X						
Proposal Preparation and Review							

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Furnishes proposal development services such as workshops on proposal writing and grant administration, meetings with visiting agency personnel, and feedback on proposals.	X						
Develop and revise technical narrative			X				
Develop and revise budget	X		X	X	X		
Provide guidance to PI on proposal preparation	X			X	X		
Provide guidance to departments on proposal preparation	X						
Proposed project fits within academic framework and resources	X			X	X		
Conflict of Interest Requirements have been met and addressed	X		X	X	X		
All regulatory compliance activities, if any, are understood and will be managed appropriately	X		X	X	X		
Determine the appropriateness of the grantee	X						
Record proposal information for tracking	X						
Double Check Cost Sharing with GACC	X						
Calculate budget with appropriate cost share	X						
Proposal Submission							
Manage Cayuse	X						
Cayuse Training and Scheduling	X		X				

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Mailing of Proposals if Needed			X	X			
Proposal Approval							
Requirements for new or renovated facilities/space have been discussed with the appropriate people				X	X		
Provide institutional review of proposal	X	X					
Identify cost sharing		X		X	X		
Review proposed cost sharing for compliance with terms and conditions and approve proposed cost sharing		X					
Make revisions and corrections to proposal after institutional review	X	X	X				
Provide institutional approval of proposal		X					
Signatory	X						
Award Acceptance							
Receive notification of grant or contract	X						
Send notification to department and other administrative departments through award release document	X						
Process award in accordance with award release and notify departments of account		X					
Negotiate terms and conditions with	X						
Review and approve terms and conditions with legal counsel	X						

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Prepares and executes standard agreements, subcontracts, and other agreements related to extramural funding through consultation with legal counsel.	X	X					
Award Set-Up							
Record award information for tracking	X	X					
Prepare award summary documents	X	X					
Prepare and submit cost sharing request form to Dept	X	X	X	X	X	X	
Review and approve the cost sharing	X	X	X	X	X	X	
Establish FUND and ACCOUNT codes in BANNER for budget allocations, funding mechanisms facilities and administrative (F&A) costs, and other fiscal-related codes		X					
Activate FUND codes		X					
ENTER budget INTO BANNER		X					
Award Management							
Develops an over-all plan for the commitment of grant and contract funds, working with the authorized person(s) in the department, college, and consults other University officers as appropriate.			X				

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Establishes systematic procedures in the department, college for supervision of grant and/or contract accounts	X						
Provides administrative support for the management of grant or contract accounts. Often, this responsibility is delegated to the departmental manager, fiscal officer, administrative assistant, or other administrative official.		X	X	X	X		
Fiscal administration for grants and/or contracts, cooperative agreements, sub-contracts, and financial assistance agreements negotiated with federal, state, and private sponsors at the central level.		X					
Maintain central internal systems for monitoring status of all sponsored projects, for receivables, overdrafts, revenue, effort certification, cost sharing, letters of credit, electronic funding, and financial reporting		X				X	
Approves all expenditures requests to be charged against the grant or contract account.		X	X				
Review and approve expenditures for allowability and allocability		X	X				

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Oversee expenditures for allowability and allocability	X	X		X	X		
Retain documentation to support allocation of expenditures		X	X	X	X	X	
Audit the allowability and allocability of expenditures	X	X				X	
Reviews, on a regular basis, the grant or contract account expenditures with appropriate departmental, college, or newer campus administrator(s).		X	X	X	X	X	
Coordinate issue resolution with sponsors		X					SPO Consulted and Copied
Initiate internal award change requests to GACC			X				SPO Consulted and Copied
Approve internal award change requests		X					SPO Consulted and Copied
Initiate award change requests that require sponsor approval		X	X				SPO Consulted and Copied
Submit award change request to sponsor for approval		X	X				SPO Consulted and Copied
Process award changes		X					
Certifies cost sharing			X				
Track cost sharing		X	X				
Subrecipient monitoring		X	X				
Prepare trainee appointment documents (such as NRSA appointment documents)			X				

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Review and submit trainee appointment documents	X						
Reconcile accounts on a <i>periodic</i> basis		X					
Periodically notify departments of overdraft accounts		X					
Produce exceptions report and contacts department		NP					
Resolve issues on the exception report		NP					
Oversee the resolution of items on the exception report		NP					
Program Income							
Identify program income		X	X				
Notify GACC of any program income (such as revenue from sales and services of goods developed in conjunction with a sponsored project).			X				
Post program income to appropriate account code		X					
Report program income on financial status report		X					
Invoicing and Billing for all Sponsors							
Identify the need to bill		X					
Create the invoice		X					
Provide institutional approval		X					
Track submission of invoices		X					
Department approval and signoff on final invoice		X	X	X			

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Notify departments of upcoming billings		X					
Accounts Receivable and Cash							
Manage cash (handling of checks, etc.)		X					
DRAW DOWN FEDERAL FUNDS based on the disbursement of cash for expenses of awards for a specific period of time for a specific funding agency		X					
Annually calculate federal interest for UCA accounts and refund accrued interest to the U.S. Department of Health and Human Services		X					
Request the establishment of international bank accounts and manage the transfer of funds and financial reporting VIA CONTROLLER		X					
Monitor and pursue the collections of overdue payments from sponsors		X					
Financial Status Reports							
Identify the need for submission of a financial status report		X					
Notify departments of financial reports that are close to due date		X					
Prepare financial status reports		X					
Obtain agreement from PI or department on final figure			X				

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Submit financial status reports to sponsors		X					
Technical Reports							
Identify the need for submission of a technical report			X	X			
Prepare and approve technical reports			X				
Submit technical reports to sponsor			X				
Maintain the official copy of the technical report	X		X				
Certification of Time and Effort							
Prepare and distribute effort certification		X					
Obtain necessary supervisory reviews and approvals and complete the document			X				
Certifies, or has someone with first-hand knowledge of her/his effort, certify her/his effort and the effort of other employees working on her/his project via the University's Effort Certification System.			X				
Review effort certification reports completed by departments		X					
Resolve problems or follow up on certifications not submitted		X					
Complete necessary adjustments to award charges and/or payroll distribution		X		X			

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Retain/store the documentation supporting the certification process		X					
Grant Closeout							
Identify close-out situations		X					
Determine whether there are unresolved items that need to be resolved before closing account and communicate to		X					
Ensure expenditures/cost transfers have been posted to accounts		X		NP			
Prepare consolidated report at year end.		X					
Resolve issues related to unreconciled accounts and Oversee the resolution of unreconciled accounts and make necessary entries for unreconciled accounts that are 12 months past end date		X		NP			
Prepare and submit financial reports, invoices, and patent reports in accordance with award terms and		X					
Prepare patent reports	X						
Ensure that all technical reports have been submitted to sponsor			X				
Ensure that all final invention reports have been submitted to sponsor	X		X	NP			
Ensure that UCA has submitted all patent reports to sponsor	X		X				

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Inactivate award account(s) in financial accounting system		X					
Maintain official award documents for sponsored projects	X	X					Copies???
Assumes accountability for overdrafts, deficits, uncollectibles, and/or disallowances that occur under a grant or contract account.			X	X			
Consults with principal investigator concerning the resolution of an overdraft, deficit, uncollectible, and/or disallowance incurred under a grant or contract account and is responsible for settling the problem. In the case of uncollectibles and/or disallowances it may be necessary to communicate with GACC for assistance in obtaining an appropriate resolution.	X	X					SPO provides guidance only.
A-133 Audit							
Comply with circulars and sponsor conditions for compliance at the transaction level.		X				X	
Coordinate the A-133 audit for the entire University.		X				X	
COMPLIANCE							
Management and oversight of the Institutional Review Board (IRB)	X						

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Management and oversight of the Institutional Animal Care and Use Committee (IACUC).	X						
Management and oversight of the Institutional Biosafety Committee (IBC).	Under development						
Management and oversight of the Conflict of Interest Committee.	X						
Technology Transfer							
Agree to disclose inventions to SPARC under the University's policy on Intellectual Property (IP).			X				
Ensure compliance with University IP Policy and Federal patent regulations by project personnel.			X				
Initiate invention disclosure process, obtains appropriate signatures & files Invention Disclosure Form with OIPA. Important to make a comprehensive disclosure, includes: " Funding sources, prior obliGACtions, prior art knowledge, etc.			X				
Maintain confidentiality.			X				
Assist in invention evaluation & marketing invention to industry.	X		X				
Preserve & maintains primary data related to inventions.			X				

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Secure a Material Transfer Agreement, approved by SPARC prior to transfer of research-related materials.	X		X				
Disclose activities in annual review.	X		X				
Complete invention portion of Continuing Grant Applications and Final Invention Management and oversight.	X		X				
Conflict of Interest							
Know and comply with UCA Conflict of Interest policies.			X				
Disclose conflicts of interest and time commitment as required by institutional officials and federal agencies.			X				
Comply with any special conditions placed on investigator's role in a project in order to manage, reduce or eliminate a conflict of interest.			X				
Report, on an ad hoc basis, any changes to financial relationships affecting research.			X				
Management and oversight.	X						
Human Subjects Protection (IRB)							

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Adhere to federal regulations, state and local laws, institutional policies, and UCA procedures regarding the safety and protection of human subjects.			X				
Includes IRB approval, communication, reporting, recruitment, consent, document management, supervising, training, etc.			X				
Management and oversight.	X						
Protection of Animals (IACUC)							
Adhere to all federal regulations, PHS policy, state and/or local laws, institutional policies and IACUC procedures regarding humane care and use of animals.			X				
Includes IACUC approval, communication, reporting, document management, required training, etc.			X				
Bottom line = Responsible use of animals in research			X				
Management and oversight.	X						
Health, Safety and Controlled Substances							
Has knowledge of institutional, local, state, and federal environmental health and safety policies applicable to research.			X				

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Includes maintaining inventory of materials, safety, standard operating procedures, manages equipment, internal and external inspections, supervising, required training, reporting, and communication.			X				
Bottom line = Public Health Management and oversight.	X		X				
Biosafety?	Runge						
Radiation Safety?	Runge						

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