


**UNIVERSITY RESEARCH ADMINISTRATION**


**FINANCIAL ROLES AND RESPONSIBILITIES MATRIX - WORK IN PROGRESS 04/01/2007**

|  <b>Yale University</b> |  | Roles             |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
|---|--|-------------------|-----------------|-------|------|----------------|---------------------|-----|------|------------|---------|---------------|----------|-----|-------------|-------|--|
|   |  | Department/School |                 |       |      | Central        |                     |     |      |            |         |               | Clinical |     | Development | Other |  |
|   |  | PI                | Business Office | Chair | Dean | Internal Audit | Controller's Office | OCR | GCFA | FASGC/SMGC | PROVOST | Trials Office | Office   | RCC | AVP or ORA  |       |  |
| Policy  | Responsibilities   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
| <b>I. GENERAL RESEARCH ADMINISTRATION ACTIVITIES AND SUPPORT</b>  |  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
| <b>Strategic</b>  |  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
|   | Direct and guide the Institution's research mission  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Nurture technology related relationships and partnerships with industry and government.          |                   |                 |       |      |                |                     | ✓   |      |            |         |               |          |     | ✓           |       |  |
| <b>Compliance - General</b>   |  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
|   | Develop and implement a comprehensive research compliance program                                |                   |                 |       |      |                |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Disseminate compliance information and new regulations to the research community                 |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     | ✓           |       |  |
|   | Serve as advisor to research administration units on key compliance topics                       |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     | ✓           |       |  |
|   | Comply with Institution policies on misconduct in research                                       | ✓                 |                 |       | ✓    |                |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Comply with federal, state and Institution policies and regulations governing sponsored programs | ✓                 | ✓               | ✓     | ✓    |                |                     | ✓   | ✓    | ✓          |         | ✓             |          |     | ✓           |       |  |
|   | Determine appropriate responses to incidents of non-compliance                                   |                   |                 |       | ✓    | ✓              |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Act as liaison with federal regulatory agencies during external compliance reviews               |                   |                 |       |      |                |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Serve as expert resources on knowledge of federal and other sponsor regulations                  |                   |                 |       |      |                |                     |     | ✓    | ✓          |         |               |          |     | ✓           |       |  |
|   | Review current practices to identify research compliance risks                                   |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          | ✓   | ✓           |       |  |
|   | Communicate and network with peer institutions   |                   |                 |       |      | ✓              |                     | ✓   | ✓    | ✓          |         |               |          |     | ✓           |       |  |
|   | Monitor federal compliance requirements to develop & implement compliance audit workplans        |                   |                 |       |      | ✓              |                     |     |      |            |         |               |          |     | ✓           |       |  |
|   | Coordinate the A-133 audit   |                   |                 |       |      |                |                     |     | ✓    |            |         |               |          |     | ✓           |       |  |
|   | Coordinate all financial audits  |                   |                 |       |      |                |                     |     | ✓    |            |         |               |          |     |             |       |  |
|   | Coordinate pre-award audits  |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     |             |       |  |
| <b>Cost Reimbursement</b>   |  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |       |  |
| 1410  | Prepare and negotiate F&A cost rate proposal   |                   |                 |       |      |                |                     |     | ✓    |            | ✓       |               |          |     | ✓           |       |  |
|   | Prepare and negotiate fringe benefit rate  |                   |                 |       |      |                |                     |     | ✓    |            | ✓       |               |          |     | ✓           |       |  |
| 1410  | Communicate F&A rate to Institution personnel  |                   |                 |       |      |                |                     |     | ✓    |            | ✓       |               |          |     | ✓           |       |  |
| 1410  | Calculate Service Center recharge rates  |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     |             |       |  |
| 1410  | Approve Service Center recharge rates  |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     |             |       |  |
| 1410  | Review revenue & expenses of each service center for compliance with federal regulations         |                   |                 |       |      |                |                     |     |      | ✓          |         |               |          |     |             |       |  |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1410  | Conduct audits of service centers for compliance with University Policy |                   |                 |       |      | ✓              |                     |     |      |            |         |                        |                    |     |            |
| 1410  | Monitor Service Center billing activities                               |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |

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| <b>Pre-Proposal Support</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Identify funding opportunities  | ✓                 |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Maintain database of proposal submissions   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Provide reports to administrators for tracking funding trends   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Assist with implementation of sponsor electronic grant processing systems   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| <b>II. PROPOSAL DEVELOPMENT AND BUDGETING</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| <b>General</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Identify and communicate required training courses for PI   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     | ✓          |
|   | Provide proposal forms and application materials  |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Verify that there is some level of effort included in proposal per regulations  | ✓                 | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Ensure that the proposal gets to Preaward by internal deadline  | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Review and agree to proposal or application terms and conditions, as well as agency rules and regulations                         |                   |                 |       | ✓    |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Confirm that the entire proposal meets administrative requirements outlined in the application instructions                       |                   | ✓               |       | ✓    |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Ensure that the applicant has attended required training courses  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Ensure that the applicant is eligible to be a principal investigator  |                   |                 |       | ✓    | ✓              |                     |     |      | ✓          |         |                        |                    |     |            |
| <b>Technical Proposal</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Prepare technical proposal  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Identify the need for subcontracts  | ✓                 |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Identify and request on- or off-campus space needed in addition to that already assigned to the PI                                | ✓                 |                 |       | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Request modifications or renovations to <u>on-campus</u> space if necessary   | ✓                 | ✓               |       | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Request modifications or renovations to <u>off-campus</u> space if necessary  | ✓                 | ✓               |       | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Complete the appropriate forms from the IRB, IACUC, Chemical and Biological Safety Committee, or Radiation Safety Committee, etc. | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Identify conflicts of interest and commitment and prepare COI disclosures   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Present proposal for review/approval by appropriate external peer review group  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Conduct department or administrative unit review of proposal relative to scientific merit, resource utilization or other department-specific concerns |                   |                 | ✓     | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
| <b>Proposal Budget</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Prepare proposal budget and budget justification commensurate with sponsor and Institution policies   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide help as needed to PIs and others on preparation of budgets and other forms  |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Verify available PI effort for project  | ✓                 | ✓               | ✓     |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Request cost sharing funds according to Institution policy.   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Request matching funds or identify in-kind contributions according to Institution policy  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Identify and evaluate issues related to program income  | ✓                 | ✓               |       |      |                |                     |     | ✓    | ✓          |         |                        |                    |     |            |
| 1308  | Verify that budget items are in accordance with OMB Circular A-21 (which also includes cost accounting standards)                                     | ✓                 | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Select the appropriate facilities and administrative rate and fringe benefit rate   | ✓                 |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Request a facilities and administrative cost waiver, if appropriate   | ✓                 |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Approve a facilities and administrative cost waiver, if appropriate   |                   |                 |       | ✓    |                |                     |     |      |            | ✓       |                        |                    |     |            |
| 1308  | Review proposal for anticipated program income  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Contact sponsor to discuss anticipated program income, if necessary   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Determine use of reportable program income  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1308  | Verify that program income is recorded correctly  | ✓                 | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1308  | Make decisions about how to handle situations when total program income offset is greater than total expenditures                                     |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1308  | Determine whether program income is reportable or non-reportable  |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1308  | Report program income to sponsor in financial reports   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1308  | Identify sources of actual and potential program income at the proposal stage   | ✓                 | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |

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| 1308  | Complete required program income sections in grant proposal, as necessary              | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Develop plan for using program income  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Discuss anticipated program income with the department administrator                   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Address account balance issues at final project termination                            | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Assist PI in calculation prices  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Bill for products or services which produce program income                             |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Reconcile revenue invoiced or submitted against financial reports                      |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Monitor levels of Program income in account and any limits that are set by the sponsor |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Properly deposit income received in accordance with the University's revenue policy    |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Monitor expenditure levels in project to ensure that program income is spent first     |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1308  | Reconcile revenue invoiced or submitted against financial reports                      |                   | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |


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| <b>III. PROPOSAL REVIEW, APPROVAL AND PROCESSING</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Review and accept proposals with special requests (e.g., multiple departments)                                      |                   |                 | ✓     | ✓    |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Approve request for additional space or modifications or renovations to existing space                              |                   |                 | ✓     | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Approve technical proposal  |                   |                 | ✓     | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Approve proposal budget and its justification   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Approve department funds to be used for matching funds  |                   |                 | ✓     |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Approve Dean's funds to be used for matching funds  |                   |                 |       | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Confirm that matching funds and cost sharing are documented and approved  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Oversee (with respect to assurance) that budget items are in accordance with A-21 and the cost accounting standards |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Review proposals to ensure that they are consistent with the Institution mission/policies                           |                   |                 | ✓     |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Review proposals to ensure that they commit an appropriate level of Institution resources                           |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Ensure that proposals comply with the policies and procedures of the sponsor  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Approve proposals prior to submission to Preaward   |                   |                 | ✓     |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Evaluate requests for F&A rate reductions or waivers  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Approve F&A rate and waiver (if necessary)  |                   |                 |       | ✓    |                |                     |     |      |            |         |                        |                    |     |            |
|   | Check the final application for completeness  |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Sign as the Institutional Official on behalf of the institution assuring institutional oversight                    |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Mail/submit the proposal to sponsor   |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| <b>IV. AWARD ACCEPTANCE AND ESTABLISH ACCOUNT</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| <b>Preaward</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Request preaward accounts, if necessary   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Approve commitment of department funds if project not funded  |                   |                 | ✓     |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Approve and establish pre-award account   |                   |                 | ✓     |      |                |                     |     |      | ✓          |         |                        |                    |     |            |

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| <b>Negotiation</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Negotiate and approve the project scope   | ✓                 |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Request subcontract   | ✓                 |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Develop and negotiate subcontracts in response to PI request  |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Negotiate, approve, and notify the PI of the project terms and conditions   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Notify the appropriate regulatory office if changes to project scope will affect approved protocols   | ✓                 |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
| <b>Acceptance and Set-Up</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Receive the Notice of Grant Award   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Evaluate whether award is a gift or grant   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Review the Notice of Grant Award  | ✓                 | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Accept the agreement on behalf of the Institution   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Notify the PI that the award has been received and send copy of the Notice of Grant Award to the PI and Unit Business Administrator and School Administrator as appropriate |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Establish the project account and cost sharing account if necessary in the financial system and notify the PI and Business Office   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Key in the budget into the system   |                   | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Track award data  |                   | ✓               |       |      |                |                     |     | ✓    | ✓          |         |               |          |     |             |  |       |  |
| <b>V. FINANCIAL MANAGEMENT OF AWARDS</b>  |   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
| <b>Budget and Cash Management</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Establish appropriate security in general ledger  |                   | ✓               |       |      |                |                     | ✓   |      |            |         |               |          |     |             |  |       |  |
|   | Initiate non-salary purchases   |                   | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Prepare single source justification for purchases, if necessary   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Set up payroll on grants  |                   | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Verify that expenditures meet A-21 requirements at the time they are requested  |                   | ✓               |       |      |                |                     |     |      |            |         |               |          |     |             |  |       |  |
|   | Perform periodic review of grant transactions for appropriateness and adherence to federal, state and local regulations   | ✓                 | ✓               |       |      | ✓              |                     |     | ✓    |            |         |               |          |     |             |  |       |  |

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**ADMINISTRATION**


**FINANCIAL ROLES AND RESPONSIBILITIES MATRIX - WORK IN PROGRESS 04/01/2007**

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Communicate with the dept business office to enable charges to be made correctly to the appropriate awards  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Review reports of sponsored program expenses regularly to identify errors in a timely manner and communicate required changes to the business office promptly | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Request transfers of costs to sponsored projects which represent allocation of expenses or corrections of errors  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Provide written authorization for required cost transfers   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Maintain queries to be used by departments to monitor award activity  |                   |                 |       |      |                | ✓                   |     |      |            |         |                        |                    |     |            |
| 1305  | Provide PI with timely monthly financial reports  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Assist PI in financial report reviews   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Ensure costs transfers requested by PI are performed promptly   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Advise PI about University policies and procedures, sponsor policies and procedures and regulations regarding the process of cost transfers                   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Ensure that the preparer and the approver for cost transfers is not the same individual   |                   | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1305  | Ensure complete justifications of cost transfers  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1305  | Ensure retention of complete documentation of cost transfers  | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Review proposed resolution of overdrafts and either approve them or return them for issue resolution  |                   | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Maintain local oversight for the project budget   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Review monthly financial reports to ensure compliance with A-21 requirements (allowable, allocable, reasonable)   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Prepare and submit invoices to sponsors   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Prepare and process letters of credit draws   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Prepare and submit billings for clinical trials   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Reconcile bank accounts where deposits are made and draws are received  |                   |                 |       |      |                | ✓                   |     |      |            |         |                        |                    |     |            |
|   | Receive payments from sponsors and deposit them in Institution accounts   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Resolve payment problems with late or non-payment by funding agencies |                   |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| <b>Financial &amp; Management Reporting</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide timely and accurate financial information/reports using the general ledger                                      |                   |                 |       |      |                | ✓                   |     |      |            |         |                        |                    |     |            |
|   | Use monthly reports for financial monitoring and identify and resolve errors on the account in a timely manner          |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide interim financial reports to the sponsor and notify the principal investigator                                  |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Prepare financial report for submission to sponsor  |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Certify the financial report before submission to sponsor   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Identify the use and reportability of program income  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Monitor receipt of program income   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide institutional oversight to record and report program income   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
|   | Deposit program income  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Prepare and send the report of program income to the sponsor  |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1301  | Ensure compliance with the award budget   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Finalize charges with internal service providers and provide new charging instructions for ongoing expenses             |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Prepare requests for no-cost-extension or carry forward request to sponsor and submit them thru GCA with a copy to GCFA | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Assist in resolving collection issues   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Clear all custom commitments and all outstanding procurement commitments prior to filing of final financial report      |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Retain financial records according to the Records Retention Policy  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Notify PI and Business Office when award end date is within 60 days   |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1301  | Review awards for unallowable costs, overdrafts, and remaining balances   | ✓                 | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1301  | Review facilities and administrative charges  | ✓                 | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1301  | Closes the Oracle project sponsored account once all financial obligations have been satisfied                          |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |

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| Policy  | Responsibilities   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Remove accounts receivable balances from the general ledger after verification that all cash has been collected or drawn |                   |                 |       |      |                | ✓                   |     |      |            |         |                        |                    |     |            |

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| Policy  | Responsibilities   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| <b>VI. NON-FINANCIAL MANAGEMENT OF AWARDS</b>   |  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| <b>Scientific/Program Management</b>  |  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Conduct the sponsored project  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Complete and submit interim technical reports  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Initiate material transfer agreements  | ✓                 |                 |       |      |                |                     | ✓   |      | ✓          |         |                        |                    |     |            |
|   | Review and approve incoming materials transfer agreements  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
|   | Complete the progress report for non-competitive renewals  | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide oversight for all research activity  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide local oversight over appointment of individuals to the project   | ✓                 | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Initiate programmatic changes to the project   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Review programmatic changes to the project   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
|   | Provide institutional endorsement to the sponsor for requests for administrative or programmatic changes initiated by the principal investigator |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| <b>Effort Reporting</b>   |  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Distribute effort reports  |                   |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1315  | Complete effort report   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Track current and pending effort commitments   |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Provide information to facilitate compliance with effort reporting policy  |                   | ✓               |       |      |                |                     | ✓   |      | ✓          |         |                        |                    |     | ✓          |
| 1315  | Provide local oversight for effort certification   |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Collect and maintain official records of effort reporting  |                   | ✓               |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Develop and implement activity reporting policies and procedures   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Provide guidance in interpretation of federal requirements   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     | ✓          |
| 1315  | Generate activity reports for department administrators to distribute  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Monitor compliance with reporting requirements   |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Provide training on activity reporting policies and procedures.  |                   |                 |       |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1315  | Review proposed activity and submit requests for sponsor approval or revisions to effort commitments   |                   |                 |       |      |                |                     |     |      |            | ✓       |                        |                    |     |            |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Oversee the activity planning, confirmation process, and overall compliance with this policy in his/her department  |                   |                 | ✓     |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Oversee distribution of activity reports to faculty and PI; provides information on personnel charged to grants   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Advise faculty and staff on activity reporting policies and procedures and how to apply them  |                   | ✓               |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1315  | Collect certified reports from faculty, PI and others and retain them according to institutional document retention policies.                                 |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Oversee execution of accounting adjustments to ensure federal funds are charged appropriately based on activity   |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Monitors to ensure minimum mandatory activity requirements are met  |                   | ✓               |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Have final responsibility for the financial management of their sponsored projects  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Understand and comply with sponsor requirements for notifications regarding changes in personnel and activity   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Ensure that commitments of activity for all awarded personnel on federal grants on awards are met within the flexibility allowed in the sponsor's guidelines  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Certifies their own effort and certifies staff effort or designates someone with a suitable means of verification that the work was provided to certify staff | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Certifies effort in a timely manner   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Communicates with project directors on multidisciplinary/multi institutional awards to ensure commitment of activity has been met                             | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Certify personal activity in a timely manner and if designated by PI, certify the activity of their staff personnel   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Notify departmental administrators to make accounting adjustments as needed and ensure that minimum mandatory activity requirements are met                   | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Provide notifications of reduction or changes in activity to departmental administrators  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |

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| Policy  | Responsibilities  |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Obtain approval for resulting budgetary changes as needed                             | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1315  | Ensure compliance with effort reporting policy  | ✓                 |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |
| <b>VII. AWARD CLOSE-OUT</b>   |   |                   |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Notify the PI of the need for completion and submission of the final technical report |                   |                 |       |      |                |                     | ✓   | ✓    |            |         |                        |                    |     |            |
| 1301  | Prepare and submit final technical reports  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Work with units on delinquent reports when notified by agency                         |                   |                 |       |      |                |                     | ✓   | ✓    |            |         |                        |                    |     |            |
| 1301  | Resolve overdrafts  | ✓                 | ✓               |       |      |                | ✓                   | ✓   |      |            |         |                        |                    |     |            |
| 1301  | Approve resolution of overdrafts  | ✓                 | ✓               | ✓     |      |                |                     |     |      | ✓          |         |                        |                    |     |            |
| 1301  | Provide information for closing financial reports                                     |                   |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |
| 1301  | Review, certify and accept final financial report                                     | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Prepare and approve the final financial report and notify the PI                      |                   |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |
| 1301  | Request from sponsor that remaining balances be carried forward                       |                   |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |
| 1301  | Provide information on other closing reports, such as for patents and on equipment    | ✓                 |                 |       |      |                |                     |     | ✓    |            |         |                        |                    |     |            |
| 1301  | Retain the scientific data  | ✓                 |                 |       |      |                |                     |     |      |            |         |                        |                    |     |            |
| 1301  | Maintain the official Institution record  | ✓                 | ✓               |       |      |                |                     | ✓   | ✓    |            |         |                        |                    |     |            |
| 1301  | Resolve issues related to late payment and problems with collection of awarded funds  |                   |                 |       |      |                |                     |     |      | ✓          |         | ✓                      |                    |     |            |
| 1301  | Review and provide guidance for completion of patent reports                          | ✓                 |                 |       |      |                |                     | ✓   |      | ✓          |         |                        |                    |     |            |
| 1301  | Delete or inactivate the account  |                   |                 |       |      |                |                     | ✓   |      |            |         |                        |                    |     |            |

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