**UCF Roles and Responsibilities for Research Administration**

This matrix seeks to identify commonly encountered pre- and post-award activities and to provide guidance regarding the responsible parties for each. Please note that this matrix is not meant to be prescriptive or exhaustive and is subject to change.

### General Research Administration
- Approve project PI eligibility
- Provide guidance and interpretation of federal regulations, agency specific requirements, and University policies and procedures
- Provide training as needed

### Proposal Preparation
- Submit initial intent to submit solicited or unsolicited proposal
- Develop budget & budget justification and other necessary documents per agency proposal guidelines
- Develop technical proposal
- Assist PI with proposal preparation including providing guidance for submission to central office for final review & submission
- Assist principal investigator with Commercialization Plan
- Assist principal investigator with Letters of Support from Industry Partners
- Coordinate with appropriate compliance division for awareness of possible export control, COI, PII, IACUC, EHS, etc.
- Development of small business subcontracting plan
- Submit small business subcontracting plan
- Submit proposal to sponsoring agency
- Ensure the submission and approval of the Proposal Transmittal Form prior to proposal submission

### Regulatory Compliance
- Verifies submission and approval of protocol to appropriate oversight regulatory committees
- Act as a liaison between the PI and ORC
- Ensures review of protocols for any awards involving human subjects, animal care, export controls and trade sanctions, research misconduct, conflict of interest
- Ensures compliance with federal and university requirements regarding the responsible conduct of research, human subjects, animal care, export controls and trade sanctions, research misconduct, and conflict of interest
- Works in conjunction with UCF Office of Environmental Health and Safety with respect to research material use, storage, transportation, and disposal to assure compliance with federal requirements in biological, environmental, and radiation safety
- Works in conjunction with UCF Office of Technology Transfer to assure compliance with intellectual property requirements
- Discloses existence of research/staff conflict of interest and/or use of controlled technology or select agents for subject research effort
- Submits background materials and develops conflict of interest mitigating management plan(s), and/or technology control plan(s) or export controls license/verification
- Reviews, approves, and submits to federal agencies, as required, conflict of interest management plans, technology control plans, and export control licensing applications to assure compliance with federal regulations
- Approval and maintenance of conflict of interest mtg and/or technology control plan (if required)

### Contract Review & Negotiation
- Negotiate and accept awards on behalf of the University, including modifications to existing awards
- Provide feedback and assistance on nonstandard contract terms and conditions when applicable
- Review, negotiate and accept agreements (i.e. NOAs, PPAe, Teaming Agreements, etc.)
- Provide legal assistance as needed on negotiation of contract legal language pertaining to indemnification, governing law, warranties, etc.
- Approve agreements for form and legality as applicable
- Review and make recommendations on non-standard IP terms

### Award Management/Monitoring
- Coordinate with appropriate Compliance division for compliance (i.e. export control, COI, etc) matters at award
- Set up award in ARGIS
- Analyze project number in Peoplesoft
- Verify and audit cost share in accordance with award terms and conditions
- Preparation and submission of small business subcontracting reporting
- Monitor and track cost share commitments
- Monitor and reconcile expenditures to ensure allowability, allocability and reasonableness
- Monitor and reconcile balances to ensure spending within budget and to prevent over-expenditures
- Maintain backup documentation related to expenditures within terms and conditions of the award (record retention)
- Initiate request for budget reversion and/or budget transfers
- Assist principal investigator with request for budget revisions and/or budget transfers
- Prepare and submit travel and equipment requisitions on sponsored projects for approval
- Review and approve travel requirements submitted by College for sponsored related accounts
- Review and approve equipment purchase requisitions submitted by College for sponsored related accounts
- Document commitments for cost share
- Monitor other agreements for pending close-outs
- Complete and submit technical reports (interim and final) as required
- Ensure appropriate assignment of decal for equipment
- Prepare and submit ePAFs and cost transfers for approval
- Review and approve of ePAF/Cost Transfers
- Submit FFATA and small business reports
- Submit annual property report to sponsors as applicable
- Submit annual periodic invention reports to sponsors as applicable
- Prepare and submit billings and drawdowns for all sponsored research awards
- Initiate collection activity on past due invoices
- Assist with collection efforts on past due invoices as needed
- Conduct PI phone calls, send Chair and Dean memos for delinquent deliverables
- Monitor and track government furnished property and equipment on loan

### General Council
- Approve project PI eligibility
- Provide guidance and interpretation of federal regulations, agency specific requirements, and University policies and procedures
- Provide training as needed

### Contracts and Grants
- Coordinate with appropriate compliance division for awareness of possible export control, COI, PII, IACUC, EHS, etc.
- Development of small business subcontracting plan
- Submit small business subcontracting plan
- Submit proposal to sponsoring agency
- Ensure the submission and approval of the Proposal Transmittal Form prior to proposal submission

### Compliance
- Verifies submission and approval of protocol to appropriate oversight regulatory committees
- Act as a liaison between the PI and ORC
- Ensures review of protocols for any awards involving human subjects, animal care, export controls and trade sanctions, research misconduct, conflict of interest
- Ensures compliance with federal and university requirements regarding the responsible conduct of research, human subjects, animal care, export controls and trade sanctions, research misconduct, and conflict of interest
- Works in conjunction with UCF Office of Environmental Health and Safety with respect to research material use, storage, transportation, and disposal to assure compliance with federal requirements in biological, environmental, and radiation safety
- Works in conjunction with UCF Office of Technology Transfer to assure compliance with intellectual property requirements
- Discloses existence of research/staff conflict of interest and/or use of controlled technology or select agents for subject research effort
- Submits background materials and develops conflict of interest mitigating management plan(s), and/or technology control plan(s) or export controls license/verification
- Reviews, approves, and submits to federal agencies, as required, conflict of interest management plans, technology control plans, and export control licensing applications to assure compliance with federal regulations
- Approval and maintenance of conflict of interest mtg and/or technology control plan (if required)

### Finance & Accounting
- Negotiate and accept awards on behalf of the University, including modifications to existing awards
- Provide feedback and assistance on nonstandard contract terms and conditions when applicable
- Review, negotiate and accept agreements (i.e. NOAs, PPAe, Teaming Agreements, etc.)
- Provide legal assistance as needed on negotiation of contract legal language pertaining to indemnification, governing law, warranties, etc.
- Approve agreements for form and legality as applicable
- Review and make recommendations on non-standard IP terms

### Research Foundation
- Coordinate with appropriate Compliance division for compliance (i.e. export control, COI, etc) matters at award
- Set up award in ARGIS
- Analyze project number in Peoplesoft
- Verify and audit cost share in accordance with award terms and conditions
- Preparation and submission of small business subcontracting reporting
- Monitor and track cost share commitments
- Monitor and reconcile expenditures to ensure allowability, allocability and reasonableness
- Monitor and reconcile balances to ensure spending within budget and to prevent over-expenditures
- Maintain backup documentation related to expenditures within terms and conditions of the award (record retention)
- Initiate request for budget reversion and/or budget transfers
- Monitor and reconcile expenditures to ensure allowability, allocability and reasonableness
- Monitor and reconcile balances to ensure spending within budget and to prevent over-expenditures
- Maintain backup documentation related to expenditures within terms and conditions of the award (record retention)
- Initiate request for budget reversion and/or budget transfers
- Initiate request for no-cost extension to sponsor
- Process no-cost extensions in accordance with University and sponsor guidelines
- Initiate request for no-cost extension to sponsor
- Initiate request for no-cost extension to sponsor
- Prepare and submit travel and equipment requisitions on sponsored projects for approval
- Review and approve travel requirements submitted by College for sponsored related accounts
- Review and approve equipment purchase requisitions submitted by College for sponsored related accounts
- Document commitments for cost share
- Monitor other agreements for pending close-outs
- Complete and submit technical reports (interim and final) as required
- Ensure appropriate assignment of decal for equipment
- Prepare and submit ePAFs and cost transfers for approval
- Review and approve of ePAF/Cost Transfers
- Submit FFATA and small business reports
- Submit annual property report to sponsors as applicable
- Submit annual periodic invention reports to sponsors as applicable
- Prepare and submit billings and drawdowns for all sponsored research awards
- Initiate collection activity on past due invoices
- Assist with collection efforts on past due invoices as needed
- Conduct PI phone calls, send Chair and Dean memos for delinquent deliverables
- Monitor and track government furnished property and equipment on loan

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**Note:** This matrix is not meant to be prescriptive or exhaustive and is subject to change.

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**Department:**
- **Research Administration**
- **Contracts and Grants**
- **Compliance**
- **OTIF (Accelerator)**
- **General Council**
- **Research Foundation**
- **Finance & Accounting**
- **UCF Interdepartmental Team**

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**Date:** 8.17.2015

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**UCF Interdepartmental Team:**
- **Principal Investigator**
- **College**
- **Contracts and Grants**
- **Compliance**
- **OTIF (Accelerator)**
- **General Council**
- **Research Foundation**
- **Finance & Accounting**

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**Notes:**
- This matrix seeks to identify commonly encountered pre- and post-award activities and to provide guidance regarding the responsible parties for each.
- Please note that this matrix is not meant to be prescriptive or exhaustive and is subject to change.
### UCF Roles and Responsibilities for Research Administration

This Matrix seeks to identify commonly encountered pre- and post-award activities and to provide guidance regarding the responsible parties for each. Please note that this Matrix is not meant to be prescriptive or exhaustive and is subject to change.

#### Subawards

<table>
<thead>
<tr>
<th>Activity</th>
<th>Principal Investigator</th>
<th>College</th>
<th>Contracts and Grants</th>
<th>Compliance</th>
<th>OTT/Venture Accelerator</th>
<th>General Council</th>
<th>Research Foundation</th>
<th>Finance &amp; Accounting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perform Risk Assessment of subaward when UCF is prime before issuance of subaward agreement</td>
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<tr>
<td>Prepare, negotiate and initiate subaward agreement</td>
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<td>Initiate purchase order request for approved subaward agreements</td>
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<td>Review and execute subaward agreement</td>
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<td>Monitor subaward performance, audit, etc. upon issuance of initial subaward and subaward modification</td>
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<tr>
<td>Manage subaward performance</td>
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<tr>
<td>Review and approve subaward invoices for payment</td>
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<td>Track and process subrecipient deliverables</td>
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<tr>
<td>Develop and submit small business subcontracting reports</td>
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<tr>
<td>Create Invoice Receipt in Peoplesoft</td>
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<tr>
<td>Annual review of subrecipient audit reports and repository</td>
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<tr>
<td>De-obligate PO and create 650 to move unexpended residual subcontract balance</td>
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<tr>
<td>Approve payment of subaward invoices</td>
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<tr>
<td>Receive and submit financial, inventory and equipment inventory reports ( interim and final)</td>
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</table>

#### Closeouts/Deobligations/Early Terminations

<table>
<thead>
<tr>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>Initiate request for cost transfers in accordance with University and federal policy and procedures</td>
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<tr>
<td>Process cost transfers in a timely manner, in accordance with University and federal policy and procedures</td>
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<td>Approve cost transfers “over 90 days” past the original expenditures, to remove unallowable costs and over expenditures</td>
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<td>Identify awards eligible for final closeout</td>
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<td>Monitor and close-out of other agreements</td>
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<td>Review, complete and submit closeout checklist in timely manner</td>
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<td>Review and submit to sponsor Intellectual Property disclosures, final invention, assignments of royalties etc.</td>
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<tr>
<td>Audit expenditure balance and award activity to verify financial compliance with University and sponsor regulations and to ensure allowability, allocability and reasonableness</td>
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<tr>
<td>Ensure all expenditures and transfers have been posted to account within 90 days of end date</td>
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<tr>
<td>Close and inactivate awards/projects in the University financial system</td>
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<td>Update the status for projects in closeout in ARGIS</td>
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#### Financial Reporting

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</thead>
<tbody>
<tr>
<td>Prepare and submit financial reports</td>
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<tr>
<td>Identify the need to bill &amp; create invoices</td>
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<tr>
<td>Verify cost share to be reported to sponsors</td>
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<td>Report cost sharing to sponsors</td>
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<tr>
<td>Monitor and pursue the collections of overdue payments from sponsors</td>
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<td>Allocate income to accounts at closeout process</td>
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#### Audit

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<tbody>
<tr>
<td>Coordinate internal and external audits for the institution</td>
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<td>Respond to ad hoc audit requests (internal &amp; external)</td>
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</table>

*College* - represents Departmental Administrator, Chair or Dean or equivalent

**Compliance - represents Financial Compliance, IRB, IACUC, RCR/COI**

***Venture Accelerator***

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rev. 8.17.2015