

**University of Wyoming
Sponsored Projects Roles and Responsibilities Matrix**

Submitting proposals, executing awards, conducting research, and administering sponsored projects involves many different people and units throughout the University of Wyoming campus. While there may be some minor variations in processes from Department to Department and College to College, the matrix below outlines the general process and identifies the appropriate party that has primary responsibility for different activities throughout the life cycle of a sponsored award.

Roles & Responsibilities	PI	PM	Department & Chair/Head	College/Dean	Research & Economic Development Division (REDD)				Finance Division		Other
					EPSCoR/IDEA Office	Pre-Award	Compliance	Tech Transfer	VPR	Post-Award/OSP	
Encouraging the Pursuit of Extramural Funding and Identifying Funding Opportunities											
Identifies databases on funding opportunities and makes them available to the University community					✓	✓					
Search and identify funding opportunities	✓										
Provide guidance on funding opportunities						✓					
For limited submissions, coordinate selection process for the Vice President for Research and Economic Development					✓						
For EPSCoR/IDEA limited submissions, coordinate selection process for the Vice President for Research and Economic Development					✓						
Proposal Preparation											
Prepares technical proposal	✓										
Assures that the proposed project is appropriate in nature and scope and consistent with the departmental and institutional mission	✓		✓								
Assures that the proposed project has qualified personnel and adequate space	✓		✓								
Identify subcontractors and request budget and scope of work materials	✓										
Develops an adequate and accurate budget to accomplish scope of work	✓										
Requests and documents approval for cost sharing/matching funds as required	✓		✓								
Approves and provides documentation to Pre-Award for cost sharing/matching			✓	✓							
Approves project PI status (as delegated)			✓	✓							
Communicate with Pre-Award if there is a question regarding F&A rate, e.g., on-or-off campus rate	✓										
Prepares request for F&A waivers or reductions	✓										
Evaluate requests for F&A waivers or reductions			✓	✓							
Approves requests for F&A waivers or reductions						✓					
Provide guidance on proposal preparation						✓					
Regulatory Compliance Requirements											
Prepares and submits protocols/applications for research involving human subjects, research animals, radiation, and biosafety hazards	✓										
Assures and provides documentation of certifications and representations to sponsor (for approval of research involving human subjects, research animals, and biosafety. This occurs following committee approval.)						✓	✓				
Facilitate the review and approval of protocols by appropriate committee for research involving human subjects, research animals, radiation, and biosafety.							✓				
Institutional oversight and facilitation of compliance issues							✓				
Ensure that protocols and approvals for regulatory compliance requirements are kept current throughout the life of the project as required							✓				
Disclose Conflicts of Interest (COI)	✓							✓			
Facilitates the review of disclosures of Conflict of Interest and management plans, if needed								✓			
Review of drones (UAV) applications in research								✓			
Responsible Conduct of Research education								✓			
Responsible Conduct of Research education tracking for sponsor	✓							✓			
Receive and oversee allegations of research misconduct								✓			
Proposal Review and Approval											
Routes proposal for approvals, allowing sufficient time for review before submission to meet the sponsor's deadline	✓										
Confirm that proposal meets sponsor requirements (text, margins, font, page limits, current & pending, other support disclosures, etc.)	✓										
Review proposal documents to ensure that all institutional proposal requirements and sponsoring agency rules and regulations are observed							✓				
Reviews budget to ensure it is adequate and accurate to accomplish scope of work and in compliance with all institutional and sponsoring agency rules and regulations							✓				
Verify that cost sharing in proposal (when required) is listed and that all commitments have been secured	✓		✓	✓		✓					
Review proposed cost sharing for appropriateness	✓		✓	✓		✓					
For collaborative proposals or when UW is receiving a subaward act as liaison with lead or other organizations Sponsored Program/Research office(s)							✓				
Provide institutional review and approval of proposal							✓				
Maintains a proposal database							✓				
Proposal Submission											
Review and approves for submission ALL proposals on behalf of the University							✓				
Electronic Submission							✓ - unless deviation is approved by Pre-Award				
Paper Submission	✓ - pick up after approved by Pre-Award										
Pre-Award											
Request Pre-Award or advance account set-up	✓										
Reviews and endorses request for Pre-Award or advance account set-up & provides a department guarantee fund			✓								
Approves requests for Pre-Award or advance account set-up							✓				
Establish Pre-Award or advance account in the Financial System										✓	
Monitor Pre-Award or advance account	✓	✓	✓	✓							
Award Acceptance											
Accepts award on behalf of the University and the Board of Trustees							✓				
If notification of award is received directly by the PI, inform Pre-Award and forward award notice and related materials	✓										
Review and is aware of all terms and conditions, with emphasis on performance clauses. Includes frequency of technical reports, deliverables, termination conditions, etc.	✓										
Review and negotiate terms and conditions for Grants, Contracts, Cooperative Agreements, Equipment Loan Agreements, and other types of sponsored funded and non-funded agreements							✓				
Review and negotiate terms and conditions for incoming and outgoing MTAs, NDAs, DUAs								✓			
Provide feedback on nonstandard terms and conditions when applicable	✓		✓					✓			✓
Review and approve changes from standard language regarding intellectual property, confidentiality, and publication in contracts with industry								✓			
Accept award terms and conditions & execute award on behalf of the University							✓				
Prepares and sends gift acknowledgement letters as required	✓										
Award Set-up											
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial account set-up							✓				

Review award budget						✓					✓
Establish award record in eRA System						✓					✓
Establish account in Financial System											✓
Conducting the Project Financial											
Prepare financial transactions	✓	✓									
Initiate re-budgeting requests and cost transfers (which could include providing a justification)	✓	✓									
Obtain sponsor approval of re-budgeting requests, where required						✓					✓
Reviews and monitors cost transfers	✓	✓	✓								
Reviews and approves cost transfers			✓								✓
Initiate no cost extensions or other prior approval requests (Prior approvals such as change in key personnel, scope of work, rebudget, etc.)	✓										
Submit no cost extension notifications or requests to sponsor as required (Prior approvals such as change in key personnel, scope of work, rebudget, etc.)						✓					
Ensure that cost sharing is documented	✓	✓									✓
Initiate purchases via PCard or with Procurement as appropriate	✓	✓									
Approve financial transactions and assure their appropriateness, reasonableness and allowability of expenditures in financial system			✓								
Provides oversight of all financial transactions and assurance of their appropriateness, reasonableness and allowability of expenditures on award	✓										✓
Use financial reports to monitor and oversee expenditures	✓	✓	✓	✓							✓
Review and reconcile accounts on a monthly basis	✓	✓									
Manages expenditures to not exceed available award balance	✓	✓									
Provide oversight of sponsored projects administration, including university policies and procedures for post-award related matters and state and federal requirements											✓
Coordinate resolution of financial and/or compliance issues on sponsored projects											✓
Audit expenditures											✓
Maintains non-financial award records						✓					
Maintains financial award records											✓
Program Income											
Identify program income	✓			✓			✓				
Invoice program income				✓ - in collaboration with OSP							
Receive and deposit program income											✓
Identify use and reportability of program income	✓	✓									✓
Monitor program income levels	✓	✓	✓								✓
Invoicing Financial Reporting											
Prepare and submit the invoice or financial report											✓
Supply Milestone/Deliverable information to Post-Award on Deliverable based contracts	✓										
Accounts Receivable Management											
Receive and deposit payments from sponsors											✓
Produce and record letter of credit draw requests (federal awards)											✓
Monitor and pursue the collections of overdue payments from sponsors											✓
Record and maintain Accounts Receivable and Cash Management in financial system											✓
Prior Approvals											
Initiate requests prior approvals for changes to project (e.g. equipment, travel, NCE, subawards, etc.)	✓			✓							
Approve or forward to sponsor prior approvals for changes to project							✓				
Ensure regulatory compliance offices are notified of changes to project	✓			✓							
Update and maintain current and pending support information and disclose to sponsor as appropriate	✓			✓	✓		✓ - Pre-Award submits when sponsor requires AOR to submit				
Outgoing Subcontracts and Subawards											
Submit Subaward and Subaward Modification Requests to Pre-Award	✓										
Oversee programmatic aspects of subaward	✓										
Oversee financial aspects of subaward	✓	✓									
Perform Subrecipient Risk Assessments							✓				
Prepare, negotiate, and execute outgoing subawards							✓				
Review and approve subaward invoices	✓	✓									
Provide oversight of subaward invoice payments											✓
Subrecipient monitoring	✓			✓			✓				✓
Review subrecipients' single audit or other audit documentation on an annual basis and determine if any action should be taken											✓
Prepare and submit FFATA reports on behalf of the institution							✓				
Subcontracting Plan											
Determine if a Small Business Subcontracting Plan is Needed	✓						✓				
Prepare Small Business Subcontracting Plan	✓						✓				Procurement
Provide Small Business Subcontracting Plan to Sponsor							✓				
Prepare and Submit Small Business Subcontracting Plan Reports	✓			✓							Procurement
Technical Data and Reports											
Ensure integrity of all research data	✓			✓							
Prepare and submit technical reports to sponsor	✓										
Submit technical reports to sponsor (when required by Sponsor to be submitted by AOR)							✓				
Maintain the official copy of the technical report	✓			✓			✓				
Personnel and Effort Certification											
Initiate hiring and appointment process	✓			✓							
Identify and initiate any screenings required (E-Verify, foreign visitor screening)	✓			✓							
Initiate necessary adjustments to award charges or and/or payroll distribution				✓							
Monitor sponsored projects funded compensation to ensure compliance with institutional and sponsor requirements	✓			✓							✓
Obtain necessary supervisory reviews and approvals				✓							
Ensure accuracy and signs completed effort certification	✓			✓							
Resolve problems or follow up on certifications not submitted				✓	✓						✓
Provide oversight on Effort Certifications											✓
Manages the Effort Reporting System											✓
Project End and Close-out											
Identify early close-out situations	✓			✓							✓
Ensure all appropriate expenditures have been posted to accounts	✓			✓							
Prepare final financial invoice/report											✓
Resolve issues related to unreconciled accounts	✓			✓							✓
Ensure that all financial reports have been submitted to sponsor											✓
Monitor submission of Final Technical Reports to sponsor							✓				✓
Monitor submission of Final Invention reports to sponsor							✓				✓
Monitor submission of Patent reports to sponsor							✓				✓
Provide information to be included in invention and patent reports to Sponsor								✓			
Prepare and submit Property reports to sponsor											✓
											Asset Management assistance as necessary

