

OFFICE OF SPONSORED RESEARCH ROLES AND RESPONSIBILITIES MATRIX

	PRINCIPAL INVESTIGATOR	DEPARTMENT ADMINISTRATOR	COLLEGE/SCHOOL DEAN or VP	OSR - RESEARCH ADMINISTRATION	OSR - INDUSTRY CONTRACTING	OSR - SPONSORED PROJECTS ACCOUNTING	OSR - COST ANALYSIS AND COMPLIANCE	OSR - OPERATIONS	SOM - SPONSORED PROGRAMS OFFICE	RESEARCH COMPLIANCE OFFICE	OFFICE OF CLINICAL TRIALS	OFFICE OF HUMAN RESEARCH ETHICS	OFFICE OF ANIMAL CARE AND USE	UNC - FINANCE
	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance
Proposal Creation														
Initiate intent to submit solicited or unsolicited proposal	•													
Communicate proposal deadlines, pre-award process and OSR policies to Principal Investigator (PI)		•												
Assist with questions regarding eligibility, allowable costs, and other administrative elements of sponsor guidelines		•	•	•					•	•				
Develop technical proposal	•													
Develop budget, budget justification and other administrative documents per sponsor guidelines	•	•												
Assist PI and research staff and departments with clinical trial budget and project development											•			
Identify subcontractors and obtain statement of work, budget, letter of intent, and other required documents	•	•												
Identify need for cost sharing funds and obtain documentation for cost share support		•												
Evaluate requests for F&A waivers or reductions		•	•											
Approve F&A waivers and reductions				•										
Coordinate space arrangements identified in the proposal		•	•											
Develop a Small Business Plan - Data to be requested from Procurement	•	•		•										•
Proposal Review and Approval														
Determine proposed project fits within academic framework and resources			•											
Confirm that proposal meets sponsor requirements (formatting and page limits, etc.)		•		•					•					
Review proposal ² before internally routing to OSR or SPO	•	•	•											
Route electronic Internal Processing Form (eIPF) in RAMSeS with final application package at least five (5) business days prior to sponsor deadline		•												
Verify that cost sharing in proposal is listed and that all commitments have been secured		•	•	•					•					
Ensures regulatory compliance (i.e. IRB, IACUC, IBC, etc.) activities are understood and managed appropriately	•			•					•					
Provides institutional review and approval of proposal ¹				•					•					
Makes revisions and corrections to proposal after institutional review	•	•		•					•					
Review and ensure accuracy of the eIPF				•					•					
Proposal Submission and Just in Time														
Submit all federal, ASSIST, Grants.gov, Cayuse proposals				•					•					
Submit all Proposal Central applications	•	•												
Discuss and determine submission if sponsor is non-federal, pass-through entity, or other non-for-profit organization	•	•		•					•					
Comply with requests from sponsor's to provide additional information (PI other support, University assurances, etc.)	•	•		•					•					
Regulatory Requirements - Conflict of Interest														
Knowledgeable about and complies with the University's Conflict of Interest (COI) policy	•													
Completes project specific COI disclosure and COI training prior to award setup (training valid for 4 years)	•													
Discloses existence of conflict of interest	•													
Develops and submits conflict of interest management plan	•									•				
Complies with special conditions placed on project in order to manage, eliminate or reduce conflict	•													
Initiates organizational COI statement with Research Compliance Office	•	•		•										

Report any changes to financial relationships affecting project	•														
Institutional oversight and facilitation of individual and organizational conflict of interest										•					
Regulatory Requirements - Human Subjects	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Comply with federal regulations and University policies regarding safety and protection of human subjects	•											•			
Prepare and submit protocols for research involving human subjects	•														
Review and approve research protocols												•			
Perform congruency check between protocol and grant												•			
Ensure that protocols are kept current throughout the life of the project as required	•	•	•	•								•			
Regulatory Requirements - Institutional Animal Care and Use Committee	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Comply with University policies regarding human care and use of animals	•												•		
Prepare and submit protocols for research involving animals	•														
Review and approve research protocols													•		
Perform congruency check between protocol and grant													•		
Ensure that protocols are kept current throughout the life of the project as required	•	•		•									•		
Regulatory Requirements - Environmental Health and Safety	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Comply with University and federal environmental health and safety policies applicable to research	•														
Comply with safety protocols outlined for radioactive materials	•	•													
Comply with safety protocols outlined for hazardous chemical materials	•	•													
Comply with safety protocols outlined for biological materials	•	•													
Obtain approval from Institutional Biosafety Committee (IBC)/EHS Office prior to conducting research using recombinant DNA or infectious disease	•														
Ensure that incoming MTA's involving recombinant DNA or infectious agents receive approval from the (IBC)/EHS Office	•														
Processing Financial Guarantees	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Request a financial guarantee, a.k.a. Letter of Guarantee (LOG), from the proposal module in RAMSeS		•													
Expedite and process financial guarantee				•											
Monitor financial guarantee and request an extension, if needed		•													
Contract/Award Negotiation and Acceptance	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Receive sponsor notification of award, contract or grant; forward to OSR-RA or OSR-IC, as applicable	•	•						•							
Review agreement and provide input re: negotiation to OSR-RA or OSR-IC	•	•													
Seeks feedback from Office of University Counsel, Risk Management, and other administrative offices as needed				•	•										
Review and negotiate contract terms and conditions with sponsors				•	•										
Accept award terms and conditions and execute award on behalf of the University				•	•										
Review and negotiate (industry, federal and other party) confidentiality agreements and data use agreements					•										
Award Set-up	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Confirm that approvals for regulatory compliance requirements have been met				•											
Provide approved compliance acknowledgement waiver to OSR, if applicable	•														
Review award budget and modify if necessary, following terms and conditions of the award	•	•		•											
Identify technical and financial reporting due dates; identify interim and final invoicing requirements				•											
Prepare award setup package and submit to OSR Sponsored Projects Accounting for processing				•											
Perform QA on award setup in ConnectCarolina prior to activating contract				•		•									
Create award in RAMSeS and generates award in ConnectCarolina with RAMSeS web service						•									
Complete award, project, budgets, contract, and bill plan setup in ConnectCarolina; performs QA review						•									
Notify PI and department of award setup via automated RAMSeS email; provides chartfield and Project ID(s)						•									
Activate the ConnectCarolina contract						•									
Subcontracts and Subrecipient Monitoring	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Obtain proposal documents from subrecipient during proposal preparation and for award set-up	•	•													

Submit request to OSR Subaward Team for subcontract; provide statement of work, budget, letter of intent, etc. to Subaward Team (including when sponsor is private industry)				•											
Obtain Subrecipient Form from subrecipient; run Visual Compliance check; ensure COI requirements have been met				•											
Perform risk assessment of subaward before issuing a subaward agreement				•			•								
Prepare, negotiate, and execute subawards				•											
Submit Federal Funding Accountability and Transparency Act (FFATA) reports on the governments Federal Subaward Reporting System (FSRS)				•											
Oversee technical/progress reports to ensure progress is sufficient	•	•													
Review and approve subaward invoices	•	•					•								
Subrecipient monitoring - Review Subrecipient Form and Audits				•			•								
Subrecipient monitoring - Visual Compliance, Office of Foreign Assets Control (OFAC), Department of State Review				•											
Subrecipient monitoring - Performs audits on sample of subrecipient invoices on a quarterly basis and at least one invoice annually for all for-profits							•								
Subrecipient monitoring - Subaward burn rate and programmatic impact review (subaward > 50% of prime)	•			•			•								
Prepare Small Business Subcontracting Plan				•											
Provide Small Business Subcontracting Plan to Sponsor				•											
Prepare and Submit Small Business Subcontracting Plan Reports with data and assistance from procurement						•									
Project Management	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Prepare personnel transactions		•													
Initiate non-personnel transactions on project		•													
Review and approve personnel transactions (Effort Coordinator) and higher risk non-personnel transactions on project (Pre-Audit Technician)							•								
Provide oversight and assist with registration of clinical trial information, and post results as appropriate, in clinicaltrials.gov											•				
Communicate with sponsors, CROs and other entities on behalf of the University, researchers and departments on issues related to clinical trials					•						•				
Ensure timeliness of subcontract invoices	•	•		•											
Initiate all prior approvals (i.e. no cost extensions (NCE), budget revisions, PI changes, etc.) for changes to project	•	•													
Approve or forward all prior approval to sponsor (i.e. NCE, budget revisions, PI changes, etc.) for changes to project				•											
Perform sampling of allowable costs on high-risk areas during post-audit reviews															
Perform review of expenditures for allowability and allocability	•	•	•	•		•	•								
Monitor and track cost share commitments		•													
Verify cost share in accordance with award terms and conditions		•				•									
Submit PAATs and cost transfer journals on a timely basis		•													
Approve PAATs and cost transfer journals							•								
Review financial information and reconcile projects on a monthly basis (monitor posted transactions and reconcile expenses)	•	•													
Personnel and Effort Certification	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Initiate hiring and appointment process; allocate to project	•	•													
Maintain effort certification in eCRT							•								
Prepare and distribute effort certification reports							•								
Review effort statements prior to individual certification		•													
PI (and non-PI personnel) with effort on projects certify their own effort report	•														
Review effort certification reports completed by departments							•								
Complete necessary adjustments to award charges and/or payroll distribution		•													
Ensure accuracy of completed effort certification							•								
Resolve problems or follow-up on certifications not submitted		•					•								
Invoicing and Billing	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Run pre bill report after month end close for cost reimbursable projects						•									
Manage billing of projects that are fixed price installments						•									
Notify OSR when a fixed price deliverable as been completed and an invoice can be sent	•	•													

Complete and submit invoice to sponsors (Projects beginning with 3, 5); track submission of invoice						•									
Complete and submit invoice to sponsors (Projects beginning with 4); track submission of invoice		•													
Managing Program Income	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Identify program income; notify OSR of any program income on sponsored project	•	•													
Create a program income project ID at time of award setup				•		•									
Receive program income and send to OSR for deposit		•													
Deposit/post program income and increase budget						•									
Identify use and reporting requirements of program income				•		•									
Monitor program income levels and make award adjustments as necessary		•		•		•									
Cash Management and Accounts Receivables	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Forward payments on projects to OSR	•	•													
Receive and deposit payments from sponsors						•									
Produce and record a letter of credit draw request (federal awards)						•									
Annually calculate federal interest on projects and refund accrued interest to government														•	
Annually calculate interest on non-federal projects and refund accrued interest to sponsor						•								•	
Bank reconciliation for the lockbox and cash monitoring						•									
Receive clinical trial payment and send to OSR for deposit		•													
Deposit/post clinical trial payment and increase budget						•									
Monitor and pursue the collections of overdue payments from sponsors	•	•				•									
Manage refund process						•									
Preparation and Submission of Technical/Progress Reports	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Ensure integrity of all research data	•														
Identify the need for submission of progress reports	•	•													
Prepare, approve and submit progress reports to sponsor (follow previous responsibilities listed for proposal preparation thru submission)	•	•		•					•						
Maintain and track the submission dates of the official copy of the progress report		•													
Final Reports and Project Closeout	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Identify early close-out situations	•	•													
Ensure all appropriate expenditures/cost transfers have been posted to Project IDs	•	•													
Provide backup documentation on expenditures if required by terms and conditions of the awards		•													
Determine whether there are unresolved items needed before closeout and communicate to OSR	•	•													
Audit expenditure and award activity to verify financial compliance with University and sponsor regulations							•								
Ensure allowability, allocability, reasonableness and consistency of treatment of costs	•	•					•								
Prepare final financial invoice/report						•									
Resolve issues related to unreconciled Project IDs, award closeout, expense transactions, and cash		•		•		•									
Verify and report cost share to sponsor						•									
Ensure that all financial reports have been submitted to the sponsor						•									
Submit final progress reports to sponsor	•	•		•											
Submit and monitor submission of Final Invention/Patent reports to sponsor	•	•						•							
Submit fixed assets/property reports to sponsor		•				•									
Assume accountability for overdrafts, deficits, and unallowable costs that occur under project			•												
Maintain office project closeout documents for sponsored projects	•	•				•									
Submit Small Business Report to sponsor	•	•				•								•	
Single Audit and Agency Reviews	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance	
Comply with Uniform Guidance and sponsor conditions for compliance	•	•		•		•	•		•	•					
Participate on sponsor audit or specific program audit	•	•		•		•	•								
Coordinate the Single Audit and agency reviews for the University							•								
Serves as point of contact and provides support and/or source documentation as requested by auditors							•								

Training and Communication	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance
Work with offices within OSR to maintain and update OSR web site								•						
Work with offices within OSR to onboard new OSR employees								•						
Provide ongoing training on business process changes, new regulations, etc. to OSR								•						
Lead the organization of the Annual UNC Symposium for Research Administrators								•						
Work with offices within OSR to centralize all OSR communication to campus								•						
Provide ongoing training to department administrators								•						
OSR General Inboxes	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance
Manage and triage Resadmin inbox (ResAdminOSR@unc.edu)								•						
Manage and triage OSRHelp Remedy tickets (OSRHelp@unc.edu)								•						
Manage and triage OSRBilling inbox (OSRBilling@unc.edu)								•						
Manage and triage Industry Contracting inbox (OIC@unc.edu)					•									
Manage and triage UNC SOM Sponsored Programs inbox (Grants@unc.edu)									•					
Month, Quarter and Fiscal Year End Activities	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance
Perform reconciliation - Billed AR Aging = GL AR balances						•								
Perform UAR analysis						•								
Accrual/Write-off calculation						•								
Reconciliation of OSR revenues and expenditures						•								
Accrual clean-up of fund balances														•
Calculate Direct Loan balance														•
RESEARCH SERVICE CENTERS (RSC)	PI	Dept	Dean/VP	OSR-RA	OSR-IC	OSR-SPA	OSR-CAC	OSR-Ops	SPO	RCP	OCT	IRB	IACUC	Finance
Conduct rate reviews for RSCs for compliance with federal guidelines and institutional policies/procedures.							•							
Provide training and consultation related to rate setting methodology and financial compliance							•							
Submit rate proposal at least every two (2) years to Cost Analysis & Compliance for rate review; update RSC operational plan		•												
Management of RSC financials including billings to customers and A/R collections.		•												
Monitor fund balance surplus/deficit to ensure adherence to institutional and federal guidelines		•												
¹ School of Medicine (SOM) proposals are reviewed by Sponsored Programs Office (SPO) and include: NIH grants and cooperative agreements and limited number of foundations. (See list prepared by OSR/SPO)													² Development of proposals sponsored by select foundations may be facilitated by the Office of Corporate and Foundation Relations (CFR)	