Financial Management of Awards

(Manage Project)

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ROLES AND RESPONSIBILITIES
Sponsored Projects Administration

This document defines the roles and responsibilities of those involved in the identification, assembly, and submission of proposals related to sponsored projects as the University of Michigan (U-M).

The "Unit Admin" column encompasses any research administrator, unit administrator, or higher level within the unit. Because many units across campus provide services in different ways, it was not possible to delineate these roles in a uniform way across campus. Individual units are encouraged to explore developing a companion list that best describes their home unit and delivery of services in their context.

Principal Investigators, however, do have specific responsibilities delineated in the U-M Standard Practice Guide (SPG). Although often research administrators help perform these tasks, the PI has been reflected as responsible. If you are unfamiliar with the RASCI system, you may view a brief, online tutorial: https://www.youtube.com/watch?v=1U2gngDxFkc

ROLES	
R	Responsible for the correct and thorough completion of the work to achieve the task
A	Accountable for the correct and thorough completion of the task, typically delegating the work to those responsible
S	Support for those who are responsible or accountable
C	Consulted as needed in order to complete the task (two-way communication)
I	Informed that task is underway/completed (one-way communication)

RESPONSIBLE PARTY			
PI	Principal Investigator		
UNIT ADMIN	Research Administrators, Department/School/College or Equivalent		
ORSP	Office of Research and Sponsored Projects		
FSP	Finance-Sponsored Programs		
OTHER			
ACUO	Animal Care & Use Office	IACUC	Institutional Animal Care & Use Committee
COI	Conflict of Interest Office	IC	International Center
CTSU	Clinical Trial Support Unit	Innov Part	Innovation Partnerships
EHS	Environment, Health & Safety	IRB	Institutional Review Board
ECO	Export Controls Office	OFA	Office of Financial Aid
FinOps	Financial Operations	OGC	Office of General Counsel
FR	Foundation Relations	PROC	Procurement Services
HPSCRO	Human Pluripotent Stem Cell Research Office	Prop Cont	Property Control Office
HRPP	Human Research Protection Program	RACK	Rackham Graduate School
HR	Human Resources	SSC	Shared Services Center
HSIP	Human Subject Incentives Program	Treasury	Treasurer's Office
IBC	Institutional Biosafety Committee	UMOR	U-M Office of Research

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Sponsored Projects Administration

R	Responsible
A	Accountable
S	Supporting
C	Consulting
I	Informing

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	PI	UNIT ADMIN	ORSP	FSP	OTHER
Project Set-Up					
Review Award Notification	A	R			
Request establishment of subcontract(s)	R	A/R	C/R	C	COI – C
Request internal sub-P/Gs	C/I	A/I/R		C/R	
Prepare initial budget re-allocation	C	A/R	C	C/R	
Post-Award Project Management					
Effort Reporting					
Allocate effort of PIs and other personnel to project (PAR, DBE,etc)	R	A/R			
Substantiate effort changes over 120 days (120 day memo)	R	R		A/R	
Process e-verification, if necessary	R	R	R		HR – A
Monitor effort commitments for sponsored projects	A	R			HR – C
Certify effort on project	A/R	R			
Financial Management					
Monitor Budget vs Expenses	A/R	R		C	
Review and Approve Expenditures	A	R	R	R	
Procurement Activity					
• Sole Source documentation	R	R			PROC – A
• External bid process	R	R			PROC – A
• Manage/track small business plans	R	R/C			PROC – A/C
Cost Transfers					
• Prepare documentation/justification for cost transfers (including 120 day memo)	A/R	R			
• Request cost transfer	A/R	R			
• Process cost transfer requests	C/I	A*/R			SSC – A*
*A = SSC for those units in scope; Unit Admin for those units not in scope					
• Review and approve cost transfer requests for compliance with University policy		R		A/R	
Comply with Uniform Guidance and sponsored requirements	R	R/C	R/C	A/R	
Subcontracts					

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Initiate subcontracts and manage subrecipient communications (outlined in the PAF/application)	A/R	R	C	C	
Initate subcontracts that were not outlined in the PAF.	A/R	R		C/I	
Approve subcontracts that were not outlined in the PAF.	C/I	C/I	A		
Negotiate and execute subcontract agreement	R/C/I	R/C/I		A/R	
Monitor subk expenses vs budget	A/R	R		R	
Review subk invoice for compliance and prepare concurrence report				A/R	
Initiate close-out of subcontract	A/R	R		R	
Monitor subcontractor scientific compliance	A/R	S		I	
Approve concurrence reports (subcontract invoices and work performed)	A/R	R		R	
Monitor subcontractor administrative and financial compliance	R	R	C	A/R	
Cost sharing					
Initiate transfer(s) from units and other parties of promised cost share	R	A/R			UMOR – C/S RACK – C/S
Retain necessary documentation of cost sharing and/or matching funds	R	R		A/R	
Monitor and review that required cost share is met	R	R	C	A/R	
Monitoring Expenses and Internal Reporting					
Review accounts to identify and resolve issues or errors in a timely manner (SPG 500.01)	A/R	R			
Reconciliation of expenses on accounts (joint reconciliation with SSC).	R	A*/R			SSC – A*/R
					A = SSC for those units in scope; Unit Admin for those units not in scope
Provide timely and accurate financial management reports to PI/Unit level	I	A/R	C/S	C/S	CTSU – C/S HSIP – C/S IC - C/S OFA – C/S PROC – C/S RACK – C/S SSC – C/S
External Interim Financial Reporting					
Notification to PI of upcoming sponsored financial reports				A/R	
Identify any program income and communicate to FSP	R	R/A			

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	PI	UNIT ADMIN	ORSP	FSP	OTHER
Prepare Financial Status Report (FSR) for submission to sponsor	R/S	R/C/S		A/R	
Approve interim FSR for submission to sponsor	A/R	R			
Submit interim financial report to Sponsor	R	R		A/R	
Initiate carryforward request	A/R	S	C/I		
If ORSP is submitting the carryforward request, comply with Sponsor requirements and deadline (if applicable)	C	I	A/R	C	
If project team is submitting the carryforward request, comply with Sponsor requirements and deadline (if applicable)	A/R	I	C	C	
Accounts receivable					
Prepare and submit invoices to sponsors	C/I	R/C/S/I		A	SSC – R/I
Prepare and process letter of credit draws				A/R	
Central office receive payments from sponsors and deposit them in University accounts	C/I	C/I	C/I	A	SSC – R
Unit receive payments from sponsors and deposits in proper account per SPG 519		A/R	C/I	C/I	SSC – C/I
Monitor receivables to identify any issues or overdue payments	R	R		A	SSC – R
Review unallocated list for unclaimed funds		R			FinOps – A
Pursue late or non-payment of invoices by funding agencies	R	R	C/I	A/R	SSC – R/I OGC –C/I
Program income					
Identify the occurrence and reportability of program income	R/S	R/C/S	C/I	A/R	
Deposit program income	R/S	A/R			Treasury – C/I/R
Monitor receipt of program income	R	A/R			
Provide institutional oversight to record and report program income	C/I	C/I		A/R	
Prepare and send the report of program income to the sponsor	C/I	C/I		A/R	