

Attachment B  
Roles and Responsibilities Accountability Matrix

<b>TASK</b>	<b>OFFICE RESPONSIBLE*</b>
<b>PHASE 1 IDENTIFY FUNDING OPPORTUNITIES</b>	
Review major proposal solicitations	PI, DLC, RAS
Register for electronic proposal submission mechanisms	PI, DLC, RAS
Communicate funding opportunities	Resource Development
Provide search tools for funding opportunities	RAS
Coordinate programs where Institution is limited in number of submissions	VP Research, Deans, DLC
<b>PHASE 2 PREPARE AND ROUTE (PRIOR TO ROUTING TO RAS)</b>	
Review sponsor requirements -- standard & non-standard	DLC, PI
Prepare budget and justification (including verifying salaries, salary caps and rates - EB, F&A, tuition, cost sharing, underrecovery)	DLC, PI
Review budget (rates, unallowables, salary caps, cost sharing, underrecovery, activity type)	DLC
Prepare/collect other administrative documents (bio sketches, other support, resources, checklist), back-up (consultant letters, subaward proposals)	DLC/PI
Prepare documentation (if necessary) for MIT requirements (PI status, conflict of interest disclosure, cost sharing, underrecovery, vacation, graduate student support, salary caps, faculty effort)	DLC, PI
Review for MIT requirements (PI status, Foundation clearance, subaward communication and checklist, Institute routing requirements)	DLC
Verify/review regulatory compliance -- protocols and training (human subjects, animals, biohazards, export controls, etc.)	DLC, PI
Oversee routing/review (including sign offs by multiple PIs and Dept. Heads)	DLC
Subcontracting Plan preparation	DLC/RAS
<b>PHASE 3 REVIEW AND SUBMIT TO SPONSOR</b>	
Oversee routing and review within RAS	RAS
Review COI disclosure	RAS
Prepare supporting documents for proposal (transmittal letter, certifications, response to terms and conditions)	RAS
Prepare and execute NDAs, MOUs, Teaming and Collaboration Agreements (consult with other MIT offices as appropriate)	OSATT
Log and enter proposal data in Kuali Coeus (if not a COEUS proposal) including cost sharing and underrecovery proposals	RAS
Submit electronic proposals (new)	RAS/DLC
Submit electronic SNAP renewals	DLC
Submit paper proposals	DLC
Create and maintain paper proposal file (if not a coeus proposal)	RAS,DLC

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<b>TASK</b>	<b>OFFICE RESPONSIBLE*</b>
<b>PHASE 4 NEGOTIATE WITH SPONSOR</b>	
Prepare and submit additional information as required: update other support, faculty effort, human subjects training, revise budget, protocol approvals information, etc.	DLC,RAS, OSATT
IP review coordination with IP Counsel and TLO	RAS
Review proposed award document and identify concerns	RAS/DLC, PI
Consult with other MIT offices (OSATT, OGC, OIPC, TLO, EVP, VPF)	RAS
Prepare alternate terms	RAS, OSATT
Communicate with sponsor	RAS
Communicate with PI and DLC	RAS
Subcontract Plan negotiation	RAS/DLC
<b>PHASE 5 RECEIVE FUNDING AWARD</b>	
Notice of Grant Award/Award Modification from sponsor (review for accuracy, correct if necessary)	RAS
Gift vs. sponsored award decision	RAS, Treasurer
Negotiate Non-standard Award Terms	RAS
Develop Notice of Award (NoA) or Change Notice for DLC review	RAS
Send NoA and award (or Change Notice and modification) to PI and DLC administrator for positive or negative confirmation	RAS
Review NoA terms & conditions, return signed NoA to RAS when positive confirmation required	PI/ DLC
When necessary, route, review and sign contracts and agreements	RAS
Final award documentation from collaborators (subrecipient agreements to or from)	DLC
Transmit award documents to sponsor for execution	RAS
<b>PHASE 6 SET UP AWARD AND COST OBJECT/S</b>	
Create and maintain award file	RAS, DLC
Create SAP profit center or fund center structure (if new)	DLC, IS&T
Maintain revenue and expense structures for consortium activities	DLC, RAS
Complete cost sharing template (verify amounts and funding source, initiate salary distribution if necessary)	DLC
Enter cost sharing template data prepared by DLCs	RAS
Assign SAP Project structure/financial hierarchy; Profit Center/Fund Center to award; distribute funds to children	DLC/RAS
Costing sheet (assign, verify for accuracy)	RAS
Request a departmental underrecovery cost center if underrecovery will occur and no department cost center exists	DLC
Authorizations/salary distributions	DLC/PI

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<b>TASK</b>	<b>OFFICE RESPONSIBLE*</b>
<b>PHASE 7 TRANSACT AGAINST AWARD</b>	
Requisition approval (allowability, required documentation)	DLC
Process invoices	DLC, VPF
Authorize credit card transactions	DLC
Process travel expense vouchers	DLC, VPF
Determine funds available for hiring	DLC/PI
Monitor graduate student support (when student due to be picked up, how long, funds required)	DLC/PI
Monitor postdoc fellowship end date (when support needed, funds required)	DLC/PI
Monitor underrecovery and process JV to fund	DLC
Review and authorize expense requests forwarded by VPF	RAS, Asst. Provost
<b>PHASE 8 MANAGE SPONSORED AWARD</b>	
Communicate with sponsor regarding necessary prior written approvals	RAS/DLC
Financial Review & Control (process for general review of accounts, direct and F&A charges, spending rates, available funds)	DLC, PI
Process payroll transactions (salary distributions, including cost sharing, justifications, vacation reporting)	DLC
Effort certification	PI/DLC
Reconciliation (including clearing suspense cost object, monitoring unallowables and vacation credits), proper documentation and record retention	DLC
Cost transfers (allowability, allocability, documentation)	DLC/VPF
Request creation of fabrication cost object and monitor subsequent activity (documentation, allowables)	PI/DLC
Set up fabricated equipment cost objects after approval by Property Office	RAS
Update sponsor information	RAS
Forecasting	DLC
Subrecipient monitoring	DLC, PI, RAS
Quarterly review of overruns in excess of \$10K	DLC
Issue subawards upon receipt of requisitions	RAS
Process grantee approved no-cost extensions	RAS
Update cost sharing templates	DLC
Create and collect cost sharing documentation. Monitor cost sharing expenditures	DLC

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<b>TASK</b>	<b>OFFICE RESPONSIBLE*</b>
<b>PHASE 9 REPORT ON AWARD</b>	
Technical Reporting (to sponsor)	PI/DLC
Financial reporting to sponsor	VPF/DLC
Equipment (terms of use, transfers, disposals)	DLC, VPF
Monitoring completion of cost sharing documentation	RAS, VPF
Prepare progress report/non-competing continuation applications, requests for no-cost extension	PI, DLC
Enter final report submissions in Kuali Coeus when notified	RAS
Notify RAS when technical report submitted	DLC
<b>PHASE 10 COLLECT FUNDS</b>	
Service center journal vouchers	DLC
Review open receivables	VPF
Sponsored billing	VPF
Respond to requests for assistance from VPF	DLC, RAS
Process changes to billing contact information	RAS
Request special sponsored billing and update billing schedules	RAS
Process special sponsored billing and billing schedule revisions	VPF
<b>PHASE 11 CLOSE AWARD AND COST OBJECT/S</b>	
Cost transfers (allocability, documentation)	DLC/VPF
Final financial report	VPF
Final progress report	PI/DLC
Inventions report	PI, DLC, RAS
Follow up on outstanding final reporting requirements (technical, IP)	DLC, RAS
Cooperate in addressing problems identified in the close out process	VPF, DLC
Close subaward	RAS
Confirm subaward is closed	VPF
<b>PHASE 12 COST ANALYSIS</b>	
Determine F&A and E&B rates	RAS
Negotiate and finalize F&A and EB rates	RAS
Communicate new rates	RAS
Service center rates	DLC/RAS
Allocation rates	DLC/RAS

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