



FAS Research Administration: Roles and Responsibilities Matrix

Last update: 2/14/12

Pre-Award	PI	FAS Dept.	FAS RAS	OSP	NOTES
Identification of Funding Opportunities					p=primary s=secondary
Identify and disseminate funding opportunities	X		X		For the purposes of this section RAS refers to Research Development
Monitor and disseminate limited submission funding opportunities			X		VPR (Vice Provost for Research) coordinates centrally
Advise PI in interpreting funding opportunity guidelines		X	X	X	
Provide one-on-one training in funding databases such as SPIN, COS and FDO for faculty			X		SPIN, COS, FDO are funding databases
Proposal Preparation					p=primary s=secondary
Obtain complete sponsor instructions on proposal preparation	X	X			
Provide guidance to departments on proposal preparation			Xs	Xp	
Provide guidance to PI on proposal preparation		Xp	Xs	Xs	
Collect subcontractors' statement of work, budget, justification, institutional approval and any other elements required by sponsor	Xs	Xp			
Prepare Dean's Approval Form and identify necessary additional approvals required (e.g. human subjects); prepare and route relevant forms	X	X			
Develop technical components of proposal	X				
Guide/oversee staff in development of non-technical components (e.g. CVs, budget, face page, etc.)	X				
Develop non-technical components (e.g. CVs, budget, face page, etc.)	Xp	Xs			
Develop budget in partnership with PI; ensure budget accuracy, and discuss appropriateness of federal vs. non-federal direct costs (e.g., admin/clerical, cost sharing, etc.)	X	X			
FAS and University Proposal Review and Approval					p=primary s=secondary
Review and approve proposal at Dept or Center level		X			
Send proposal to department in accordance with departmental standards for proposal receipt, in order to comply with University internal submission policy (see next line)	X				

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Send proposal to OSP and RAS* at least 5 full business days before deadline.	Xp	Xs			Proposals must be sent electronically (scanned if hard copy submission) except when original signatures are required.
Review proposal for internal approvals (human subjects, animals, COMS, human embryonic stem cells, conflict of interest, UDO, multiple schools, space, appt. end date)			Xp	Xs	
Review and approve budget and budget justification for accuracy			Xs	Xp	
Review and approve inclusion of administrative or clerical Staff			Xs	Xp	http://vpf-web.harvard.edu/osp/quick_links/policies/#AdminSalaries
Review and approve faculty effort		Xs	Xp		
Review proposal for Provost criteria and vet through approval process	Xs	Xs		Xp	
Review proposed cost sharing for compliance with terms and conditions and approve proposed cost sharing			Xp	Xs	RAS checks for school compliance/approval; OSP checks for FAS's compliance to University-wide policy
Review and approve cost-sharing commitments			X		
Review and approve non-standard F&A (indirect cost) rate (including A-21 category, on/off campus designation) and correct fringe rate use			X		
Review and approve use of Harvard name				X	
Review subcontractors' proposals and check for their institutional approval		Xp		Xs	
Negotiate terms of subcontract, as needed, or reserve the right to negotiate the terms post-submission				X	
Distribute signed subcontract to PI and Department				X	
Sign FAS Dean's Approval Form		*	X*		
Provide University approval/signature of proposal and budget				X	
Make revisions and corrections to proposal after institutional review	X	X			
Record proposal information for tracking				X	
Proposal Submission to Sponsors					p=primary s=secondary
Submit proposals to sponsors				X	

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Post-Award	PI	FAS Dept.	FAS RAS	OSP	NOTES
Notice of Award, Review and Acceptance					p=primary s=secondary
Determine whether funding is gift or sponsored			Xs	Xp	
Receive notification of grant or contract award	X			X	
Send notification to OSP, PI, Department and other administrative offices as appropriate	X			X	
Review terms and conditions in award document and inform PI and RAS of terms that need to be negotiated				X	
Compare proposed budget to awarded budget and communicate with Dept/Center and PI, as needed				X	
Prepare revised budget (and, if necessary, revised scope of work) to comply with awarded funds, if amount differs from proposed budget	Xp	Xs			
Approve revised budget and scope for 10% (or greater) reduction in award budget			X	X	
Approve revised budget and scope for reductions less than 10%				X	
Negotiate terms and conditions of award (with input from dept and PI) with sponsor and communicate progress				X	
Verify that all "pending" internal approvals (e.g., human subjects) indicated on the proposal have been received				X	
Accept terms and conditions of the award on behalf of the University				X	
Award Setup					p=primary s=secondary
Request At-risk Account if necessary	X				
Prepare, approve, and submit At-risk request to OSP		X			
Approve and activate At-risk Account				X	
Log award notice in GMAS				X	
Prepare and submit award stage cost sharing form (if necessary) to OSP		X			
Review and approve cost sharing form				X	
Set up cost share companion account with Local Chart Admin.		X			
Prepare, send out, and if necessary negotiate, subawards				X	
Activate account number				X	
Provide subactivity account allocations. (e.g. subawards, part-of accounts, program income etc.)		X			
Approve and set up account allocations				X	
Issue Action Memo to Dept/Center and PI				X	
Compare Action Memo to Award Notice and notify PI of any discrepancies immediately					
Upload budget to general ledger		X			
Request pre-award spending		X			
Obtain sponsor approval for pre-award spending				X	

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Award Maintenance					p=primary s=secondary
Coordinate issue resolution with sponsor authorized administrative official				X	
Initiate re-budgeting requests to OSP via UPAS or other		X			
Approve re-budgeting requests via UPAS or other		X		Xp	
Initiate no-cost extensions via UPAS or other		X			
Approve no-cost extensions via UPAS or other		X		Xp	
Process award changes				X	
Track and reconcile cost sharing (using companion account when appropriate)		X			See policy on OSP website
Ensure complete and accurate documentation for any key personnel changes that arise	X	X			
Obtain sponsor approval key personnel changes				X	
Obtain sponsor approval PI changes				X	
Subrecipient monitoring	Xp	Xp	Xs	Xs	
Prepare NIH trainee appointment forms		X			
Review and submit trainee appointment forms				X	
Review and approve expenditures for allowability and allocability	Xp	Xs			See updated guidance on OSP website
Retain documentation to support allocation of expenditures	Xs	Xp			
Provide guidance and make final determination of allowability and allocability of questionable expenditures			X	X	
Reconcile accounts on a monthly basis		X			
Confirm award receipt for continuations				X	
Verify continuation award dates/dollars, etc.				X	
Update/activate continuing account after acceptance of award				X	
Produce the Invalid Code Combination Report Mthly		X			
Resolve issues on the Invalid Code Combination Report		X			
Identify and bill (if necessary) program income (i.e. income earned on a project) , and post to appropriate subactivity	X	X			
Submit required modifications, amendments, and renewals of internal approvals (IRB, IACUC, ESCRO, etc.) as required through the life of the award.	X				
Invoicing and Billing					p=primary s=secondary
Identify the need to bill & create invoice				X	
Provide institutional approval				X	
Track submission of invoices				X	
Department approval and signoff on final invoice		X			
Accounts Receivable management				X	
Manage cash (handling of checks, etc.)				X	

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Produce and record a letter of credit draw request for a specific funding agency				X	
Monitor and pursue the collections of overdue payments from sponsors				Xp	
Preparation and Submission of Financial Status Reports					p=primary s=secondary
Identify the need for submission of a financial status report				X	
Notify departments of financial reports that are close to due date				X	
Prepare financial status reports				X	
Obtain agreement from PI/Dept. on final figure	X	X			
Submit financial status reports to sponsors				X	
Preparation and Submission of Technical Reports					p=primary s=secondary
Analyze award terms and identify the need for submission of technical reports	Xp	Xs			
Prepare & submit technical reports to sponsor	X				
Maintain official copies of technical reports	X				
Certification of Time and Effort					p=primary s=secondary
Print monthly non-faculty salary certifications and note any discrepancies or special situations on the forms		X			
Distribute monthly certifications to faculty and collect signed copies		X			
Verify accuracy of monthly salary certification reports	Xp	Xs			
Sign monthly salary certification reports	X				
Submit quarterly summaries of monthly certifications to RAS		X			
Retain/store monthly certifications and backup documentation		X			
Retain quarterly summaries of collection of monthly certifications			X		
Manage annual research associate (object code 6030) effort reporting and salary certification process			X		
Distribute research associate certifications to faculty and collect signed copies		X			
Manage annual faculty effort reporting and salary certification process			X		
Populate FASERS data on sponsored effort commitments		X			
Certify annual faculty effort	X				
Retain paper copies of signed annual effort reports and salary certifications where applicable			X		
Closing of Accounts					p=primary s=secondary
Identify close-out situations				X	

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Identify unresolved close-out related items and communicate to affected parties				X	
Ensure expenditures and cost transfers have been posted to accounts		Xp		Xs	
Resolve issues related to unreconciled accounts		Xp		Xs	
Oversee the resolution of unreconciled accounts		Xs		Xp	
Ensure that all financial reports have been submitted to sponsor				X	
Notify PI of reporting deadlines and delinquent reports		X			
Ensure that all technical reports have been submitted to sponsor	X				
Ensure that all final invention reports have been submitted to sponsor	X				
Ensure that all patent reports have been submitted to sponsor	X				
Segment close out				X	
Close out subcontracts				X	
Maintain official award documents for sponsored projects				X	
Compliance and Audits					p=primary s=secondary
Comply with circulars and sponsor conditions for compliance at the transaction level	Xp	Xs			
Notify PI, OSP, RAS and all other necessary administrative units before communicating with an auditor	X	X			
Provide support documentation to RAS for audits and reviews.		X			
Provide guidance to Dept and PI regarding compliance and sponsor conditions			X	X	
Advise and support departments undergoing an audit			X	X	
Coordinate the A-133 audit for FAS			X		
Coordinate the A-133 audit for the University				X	
Disseminate audit results to Departments			X	X	
Disseminate audit results to PIs		X			

Acronyms and Abbreviations

COMS: Committee on Microbiological Safety

COS: Community of Science. An on-line, searchable database of research funding opportunities
http://www.fas.harvard.edu/~research/quick_links/funding_opps.html

F&A: Facilities & Administrative Cost Rate. Also known as the indirect cost rate or “overhead.”

FASERS: FAS Effort Reporting System asperin.fas.harvard.edu/fasers.html

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FDO: Foundation Directory Online. An on-line, searchable database of foundation funding opportunities.
fconline.foundationcenter.org

GMAS: Grants Management Application Suite www.gmas.harvard.edu

NIH: National Institute for Health www.nih.gov

OSP: Office for Sponsored Programs vpf-web.harvard.edu/osp

PI: Principal Investigator

RAS: Research Administration Services (FAS) fas.harvard.edu/research

SPIN: Sponsored Programs Information Network (SPIN) is an on-line, searchable database of research funding opportunities. http://www.fas.harvard.edu/~research/quick_links/funding_opps.html

UDO: University Development Office alumni.harvard.edu

UPAS: University Prior Approval System able.harvard.edu/forms/osr_UPAS1.pdf

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