

## Roles and Responsibilities Matrix

## Externally Sponsored Awards

### Pre-award Roles and Responsibilities

Responsible Person/Office*	Scientific and Programmatic	Financial and Administrative	Use of Animals or Humans	Other Regulatory Compliance	Conflict of Interest
<b>Principal Investigators</b>	<ul style="list-style-type: none"> <li>Complete pre-submission proposal information to sponsor if applicable</li> <li>Develop research strategy, scope of work, and technical documents for proposal submission</li> <li>Identify key personnel and collaborators</li> </ul>	<ul style="list-style-type: none"> <li>Review proposal budgets</li> <li>Request Matching Funds or Cost Sharing Approval if applicable</li> <li>Endorse final proposal submission</li> </ul>	<ul style="list-style-type: none"> <li>Prepare and submit protocol to Northwestern University's Institutional Animals Care and Use Committee (IACUC) for animals</li> <li>Prepare and submit protocol to the Institutional Review Board (IRB)</li> <li>Assure applicable protocol is consistent with grant application; request changes as needed</li> </ul>	<ul style="list-style-type: none"> <li>Prepare and submit protocol for other regulatory including Institutional Biosafety, Research Safety, etc.</li> <li>Assure protocol is consistent with grant application; request changes as needed</li> </ul>	<ul style="list-style-type: none"> <li>Submit Conflict of Interest (COI) disclosures</li> </ul>
<b>Division/ Department</b>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Approve cost sharing request</li> <li>Request pre-award fund as needed</li> <li>Provide funding for pre-award spending request</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate protocol submission to the IRB as applicable</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate protocol submissions as applicable</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>
<b>Research Support Office*</b>	<ul style="list-style-type: none"> <li>Review proposals for completeness of scientific sections based on funding opportunity (e.g., format, page limitations, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Assist PI with preparing administrative proposal documents including budget</li> <li>Collect subrecipient/collaborator budget and proposal documents</li> <li>Track proposal deadline and facilitate required internal reviews and approvals</li> <li>Request pre-award fund as needed</li> </ul>	<ul style="list-style-type: none"> <li>Review proposals for completeness based on funding opportunity requirements for applicable protocol</li> </ul>	<ul style="list-style-type: none"> <li>Review proposals for completeness based on funding opportunity requirements for applicable protocol</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>
<b>Office of Sponsored Programs</b>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Serve as authorized organization representative/signatory for sponsored award</li> <li>Review proposal for compliance with Manne Research Institute/Lurie Children's policies and sponsor guidelines</li> <li>Provide expert guidance in sponsor proposal requirements and systems</li> </ul>	<ul style="list-style-type: none"> <li>Review proposals for completeness based on funding opportunity requirements for applicable protocol</li> </ul>	<ul style="list-style-type: none"> <li>Review proposals for completeness based on funding opportunity requirements for applicable protocol</li> </ul>	<ul style="list-style-type: none"> <li>Confirm COI disclosure(s) at proposal or award acceptance as applicable</li> </ul>
<b>Sponsored Research Finance Office</b>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>

\* Research Grant Specialists and Research Administrative Coordinators as assigned provide pre-award services under the Research Support Office.

## Roles and Responsibilities Matrix

## Externally Sponsored Awards

### Post-Award Roles and Responsibilities

Responsible Person/Office*	Scientific and Programmatic	Financial and Administrative	Use of Animals or Humans	Other Regulatory Compliance	Conflict of Interest
<b>Principal Investigators</b>	<ul style="list-style-type: none"> <li>Conduct research as outlined in proposal/protocol</li> <li>Complete interim and final progress and other technical reports</li> <li>Disclose inventions</li> <li>Retain project data/materials as required</li> <li>Oversee scientific integrity of project</li> <li>Supervise project staff</li> <li>Prepare and submit required award scientific deliverables</li> </ul>	<ul style="list-style-type: none"> <li>Oversee budget and expense management of awards consistent with award terms and conditions and institutional policies</li> <li>Oversee effort of project personnel and certify effort</li> <li>Oversee scopes of work and authorize payments to consultants and subrecipients</li> <li>Confirm final expenses on award</li> </ul>	<ul style="list-style-type: none"> <li>Update protocol for approval as needed</li> <li>Confirm training requirements met for project personnel</li> <li>Submit renewal of protocol including any modifications</li> </ul>	<ul style="list-style-type: none"> <li>Update protocol for approval as needed</li> <li>Assure all project personnel listed on protocol are familiar with protocol(s)</li> <li>Confirm regulatory training requirements met for project personnel</li> </ul>	<ul style="list-style-type: none"> <li>Update COI disclosures as needed</li> <li>Comply with COI management letter</li> <li>Confirm that project personnel submit disclosures as required</li> </ul>
<b>Division/ Department</b>	<ul style="list-style-type: none"> <li>Supervise project staff shared with PIs in divisions/departments</li> </ul>	<ul style="list-style-type: none"> <li>Initiate and maintain payroll allocations</li> <li>Facilitate the hiring new in divisions/departments</li> <li>Track effort/time worked as needed in divisions/departments</li> <li>Notify SRFO when deliverables should be invoiced</li> <li>Identify cost centers for any unallowable costs or budget deficits</li> </ul>	<ul style="list-style-type: none"> <li>Update Human Subjects protocol under the direction of the PI</li> <li>Track continuing review requirements; make modifications as requested by PI</li> </ul>	<ul style="list-style-type: none"> <li>Update protocol under the direction of the PI</li> <li>Provide research training staff as required</li> </ul>	<ul style="list-style-type: none"> <li>Maintain COI compliance for any staff responsible for procurement decisions</li> </ul>
<b>Research Administrative Coordinator</b>	<ul style="list-style-type: none"> <li>Provide administrative data to PI for progress reports</li> <li>Request subrecipient progress report information as requested by PI</li> <li>Collaborate with Divisional Staff when appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate the hiring new staff in SQBRC Neighborhoods and payroll allocations</li> <li>Track effort/time worked as needed for sponsor reporting</li> <li>Collaborate with Divisional and SRFO staff when appropriate</li> <li>Review and approve expenses</li> <li>Serve as a resource with NU Services and Neighborhoods</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Review COI management plan to confirm role in procurement decisions</li> </ul>
<b>Research Grant Specialist</b>	<ul style="list-style-type: none"> <li>Provide administrative data to PI for progress reports</li> <li>Request subrecipient progress report information as requested by PI</li> <li>Collaborate with Divisional Staff when appropriate</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>
<b>Office of Sponsored Programs</b>	<ul style="list-style-type: none"> <li>Provide institutional oversight for the compliance with sponsor reporting requirements</li> </ul>	<ul style="list-style-type: none"> <li>Negotiate and accept award</li> <li>Review and approve sponsor prior approval requests</li> <li>Assess risk of subrecipients</li> <li>Negotiate and issue collaboration/subrecipient agreements</li> </ul>	<ul style="list-style-type: none"> <li>Confirm IACUC or IRB approval, as applicable, when issuing award</li> </ul>	<ul style="list-style-type: none"> <li>Confirm appropriate compliance approvals have been received by the PI when issuing award</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>
<b>Sponsored Research Finance Office</b>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Setup award for PI award spending</li> <li>Review and approve expenses</li> <li>Advise PI with prior approval requests; provide data as needed</li> <li>Provide data to PI for cost transfers and re-budgeting requests as needed</li> <li>Advise PI on budget management and monitoring of award expenditures; provide projection reports</li> <li>Track and prepare financial deliverables, submit as required and close awards</li> <li>Prepare sponsor-required invoices and letter of credit draws</li> <li>Provide financial information for sponsor-required progress reports</li> <li>Oversee internal and external audits</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>