LSU Research Administration – Roles and Responsibilities Matrix

Date Updated 2-1-19

Roles and Responsibilities

Submitting proposals, accepting awards, conducting research, and administering sponsored projects involve many individuals and units throughout the University. There may be some variations in processes from Department to Department and College to College, but the matrix below outlines the general process and identifies the appropriate party that has primary responsibility for different activities.

	PI	Dept./College Administrator	Chair/Dean	Central Administrator		ORED/ORA
				Pre-Award OSP	Post-Award SPA	
Identifying Funding Opportunities						
Search for opportunities/identify collaborators	X	X				X
Provide guidance on opportunities to PI		X	X	X		X
Limited Submissions	X	X		X		X
Proposal Preparation						
Provide technical narrative	X					
Provide biosketches, current & pending forms, etc.	X	X				X
Obtain letters of support	X	X				X
Provide assistance with editing, formatting, graphics etc.		X				X
Review RFP and provide general guidance on submission		X		X		X
Identify subawardees and request appropriate supporting documentation	X	X				X
Develop budget and budget justification	X	X				X
Complete representations and certifications	X	X		X		
Identify need for mandatory cost sharing and obtain documentation for cost share support	X	X				X
Prepare requests for F&A waivers, reductions, etc.	X	X				
Approve cost sharing included in proposal and escalate when needed	X	X	X	X		ORED
Evaluation and coordination of approvals for F&A waivers or reductions		X	X	X		ORED
Prepare proposals in sponsor's electronic system (LOGAN, Grants.gov, NIH Assist)	X	X				
Provide guidance/training on proposal preparation		X		X		X
Assist with large, interdisciplinary proposals as requested and assigned by PI		X				ORA
Initiate proposal routing and ensure accuracy of electronic proposal routing eforms, Special Approval Questions, Attachments and route for approvals as requested by PI	X	X				ORA
Proposal Review and Approval						
Review proposal in electronic proposal routing sytem before routing	X	X				
Review budget for compliance with agency and university guidelines	X	X		X		
Review budget for cost sharing commitments of Dept./College		X	X	X		
Requests changes or additional information as needed		X	X	X		
Makes changes and uploads revisions in electronic proposal routing system / provides additional information via email if requested	X	X				
Provide approval of proposal in electronic proposal routing system in as authorized	X	X	X	X		
Follow up to ensure all approvals are obtained in electronic proposal routing system	X	X		X		
Provide final institutional approval of proposal on behalf of University				X		

	PI	Dept./College Administrator	Chair/Dean	Central Administrator Pre-Award OSP	Central Administrator Post-Award SPA	ORED/ORA
For Expanded Review (if selected by PI), review for completeness and adherence to sponsor guidelines				X		
Proposal Submission						
Proposals required to be submitted electronically with authorized official credentials (Grants.gov, Fast Lane, etc.)				X		
Proposals required to be mailed, hand-delivered, or emailed by PI directly to the sponsor (only after OSP approval)	X	X				
Regulatory Compliance Requirements						
Complete compliance forms (IRB, IACUC, etc.)	X					
Confirm all applicable compliance approvals have been received				X		
Tentative Accounts						
Request tentative account		X	X			
Consider appropriateness of tentative account		X	X	X		
Approve and escalate tentative account requests			X	X	X	
Establish and monitor tentative account					X	
Update FDM tool translation					X	
Award Acceptance (e.g. grant, purchase order, contract, etc.) and Set Up						
Receive sponsor notification of an award	X			X		
Review terms and conditions (including programmatic terms) and route to OSP with applicable comments/concerns	X	X				
Negotiate terms and conditions with sponsor				X		
Confirm compliance requirements (IRB, IACUC, etc.) have been met	X	X		X		
Ensure cost sharing is approved (if applicable)	X	X	X	X		
Approve terms and conditions	X			X		
Accept award on behalf of university and obtain a fully executed copy				X		
Establish Grant in Workday (if tentative Grant is not established) (Separate grants for Cost Sharing, SubK, Participate Support,Tasks)					X	
Establish Award In Workday (PI and the Award Analyst is notified through WD notification)					X	
Establish award Budget in Workday					X	
Conducting and Managing the Project						
Prepare personnel forms		X				
Initiate purchases on the project	X	X				
Initiate prior approvals for project changes (PI, scope, time extensions, effort, etc.)	X	X				
Review and approve changes and forward to sponsor, if necessary		X		X	X	
Initiate rebudget requests	X	X				
Review and approve rebudget requests and forward to sponsor, if necessary		X		X	X	
Review all spend transactions	X	X				
Review Interdepartmental billings, Cost Transfers, Payroll Accounting Adjustments (PAA), Sub-K invoices					X	
Oversea the technical progress of the project and prepare technical reports	X					
Ensure all compliance approvals are up to date	X					
Audit and Reconcile						

	PI	Dept./College Administrator	Chair/Dean	Central Administrator Pre-Award OSP	Central Administrator Post-Award SPA	ORED/ORA
Audit Expenditures and monitor grant balances					X	
Reconcile ledger detail to billable transactions					X	
Monitor Cost Sharing	X	X			X	
Audit Cost Sharing					X	
Monitor Key Personnel	X	X			X	
Audit and Monitor Program Income					X	
Monitor Interest bearing accounts					X	
Invoicing and Financial Reporting and Compliance						
Prepare and submit invoices or financial reports					X	
Receive payment from sponsors					X	
Notify PI and Department if payment terms are not being met by sponsor					X	
Prepare letter of credit draw requests					X	
Monitor collections of under/overdue payments		X			X	
Coordinate External Audits, Sub Recipient Monitoring and Desk Reviews					X	
Issuance of Subawards						
Initiate preparation of Subawards and modifications	X	X				
Prepare, negotiate, and execute Subawards/modifications				X		
Oversee the fiscal and programmatic aspects of Subawards	X					
Review and approve Subawards invoices	X	X			X	
Sub recipient monitoring	X			X	X	