Responsibility Matrix for Sponsored Programs
Appalachian State University

Proposal #: [   ]

Responsibility	PI / Dept	Dean / Director	Admin.
Proposal Preparation and Submission			
Reviews Requests For Proposals (RFP) for technical requirements and provides Sponsored Programs with RFP and draft narrative 14 days prior to submission	PI		
Reviews RFP for institutional compliance			SP
Initiates internal approvals by creating an AGrants file (electronic Internal Processing Form, or eIPF), uploading attachments, and electronically submitting and certifying the project	PI		
Prepares technical proposal, containing scope of work	PI		
Assures proposed project is appropriate & in line with departmental and institutional mission, and assures proposed project has qualified personnel and adequate space and resources	PI/Dept.	Dean/Dir	
Approves additional personnel and space needed for project beyond that provided by sponsor	Dept.	Dean/Dir	HRS/IRAP
Develops initial budget draft to accomplish proposed scope of work; provides documentation for cost sharing	PI		
Reviews budget for appropriate salaries, fringe benefits, student support, Facilities & Administrative (F&A) costs, and multi-year escalations; reviews and approves cost sharing	Dept.	Dean/Dir	SP
Delivers complete, submission-ready proposal to Sponsored Programs in AGrants **5 business days** in advance of sponsor deadline	PI		
Provides authorized signatures for Appalachian State University			SP
Copies and mails proposals, or submits electronically, as dictated by the instructions to Sponsored Programs in the General Information tab or Application Notes in AGrants			SP
Negotiates sponsored research agreements, material transfer, confidentiality agreements, and intellectual property			SP/RP
Acts as the official University repository for sponsored project documents			SP
Regulatory Compliance			
Assures compliance with NSF Responsible Conduct of Research requirement	PI/Dept.	Dean/Dir	RP
Ensures investigators prepare & submit protocols to appropriate compliance committee(s) (human subjects, animal use & biosafety hazards)	PI/Dept.	Dean/Dir	SP
Coordinates approval of compliance protocols			RP
Assures and provides documentation of certification and representations to sponsor	PI		SP
Assures compliance with federal Export Controls regulations	PI		RP/SP
Assures compliance with federal financial disclosure of potential conflict of interest (COI) regulations	PI/Dept.	Dean/Dir	GC/SP
Award Negotiation and Establishment			
Accepts award on behalf of Appalachian State University, negotiating award terms and conditions (publications, liability, jurisdiction, intellectual property, payment terms, financial reporting, etc.) if necessary; PI agrees to terms & conditions.	PI		SP
Establishes award funds in accordance with award documentation; **FUND#:** [ ]			SFA
Maintains award data in AGrants			SP/SFA
Attends a New Award meeting	PI		SP/SFA
Drafts, negotiates, and administers all subawards			SP/SFA
Managing the Award			
General Award Management			
Meets periodically with Special Funds Accounting Grant Officer: [ ]	PI		
Works with departmental administrator regarding spending processes	PI		
Submits interim/annual technical reports with copies to AGrants *1ˢᵗ Deadline:* [ ]	PI		
Submits interim/annual financial reports with copies to AGrants *1ˢᵗ Deadline:* [ ]			SFA

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Responsibility	PI / Dept	Dean / Director	Research Admin.
Human Resources			
Submits appropriate Personnel Action forms (or related HR forms) for each individual paid from award	PI		
Notifies SFA of changes to personnel contributing effort as cost share if different from budget	PI		
Issues time and effort reports			SFA
Verifies the accuracy of effort reports for all project personnel, approves them, and submits them to Special Funds Accounting by the deadline	PI		
Identifies internal or external consultants and processes appropriate payment forms	PI		
Subcontracts			
Assign subcontractor funds to proper budget line(s)			SFA
Ensures subawardee compliance with OMB Circular A-133 (subrecipient monitoring)			SFA
Approves payment of subawardee invoices when deliverables have been met	PI		SFA
Budget Revisions and No Cost Extensions			
Initiates requests with Special Funds Accounting for re-budgeting and no cost extensions, if needed	PI		
Monitoring Expenditures			
Assures appropriateness, reasonableness, and allowability of expenditures in line with University and sponsor requirements	PI		SFA
Reviews expenditures in budget categories per the established budget			SFA
Follows University's Materials Management policies for purchases of $5000 or more	PI		
Is mindful of expenditures in final 60 days of project	PI		
Cost Share			
Maintains documentation of and validates cost share support, contacting Special Funds Accounting immediately if it appears cost share commitments will not be met	PI		SFA
Facilities & Administrative (F&A), or Indirect, Costs			
Charges F&A to the grant fund in proportion to expenditures for each budget period			SFA
Considers the effect on F&A (increase or decrease) for certain budget revision actions	PI		SFA
Other			
Renews IRB and IACUC protocols as required (funds will not be released if IRB or IACUC protocols are required but not current)	PI		
Notifies the IRB and IACUC as project is ending	PI		
Backs up data and assures secure storage	PI		SP
Verifies sponsor approval of foreign travel (in advance)			SFA
Collects revenue (invoicing, letter of credit draw-downs, wire transfers, etc.)			SFA
Award Close-out			
Sends 90-day checklist as reminder of award close-out procedures			SFA
Sends 30-day pre-closeout checklist for critical, time-sensitive actions involving:			SFA
• **Personnel actions** – move to another fund or terminate position; **P-Card/Purchase orders** - verify all items ordered prior to project end date; **Communications equipment** – terminate or move to another fund; **Travel** – all completed before grant end date; **Subcontracts** - deliverables met and final invoice received by contract end date; **Cost sharing** – all commitments are met and documented by project end date.	PI		SFA
Completes and submits final technical report to Sponsored Programs by:	PI		
Prepares/submits financial reports and final invoices as required to sponsor by:	PI		SFA
Files appropriate close-out documents	PI		SP/SFA