

Investigator Support Office Responsibilities Matrix

Pre-Award Administration

1. Proposal and Proposal Budget

Task	Responsible
Alert SPO, RBA, and ISO of intent to submit proposal; convene proposal planning meeting (discuss nature of the project; number of subs, etc.)	PI
Convene proposal planning meeting (discuss nature of the project; number of subs, etc.) with PI, SPO, and RBA	ISO
Initiate eSPA record and work with PI to gather required information for funding proposal; upload all documents into eSPA	ISO
Work with RBA to create a reasonable budget to support the project; write budget justification; work with CTFM and/or CHPS to obtain pricing request (if applicable)	PI
Enter final budget into eSPA and mark as Final to Be Submitted	RBA
Gather subrecipient documentation and forward materials to RBA & SPO for compliance check)	ISO
Complete personnel certification	PI
Review final proposal for compliance with sponsor guidelines; provide feedback to PI	SPO
After SPO reviews/comments, correct any items based on SPO review	ISO
Forward proposal to obtain signatures from Authorized Organizational Representative (AOR) so that proposal can be submitted to sponsor	ISO

2. Just-In-Time (JIT)

Task	Responsible
Generate Other Support documents	ISO
Work with PI to address budget changes prompted by sponsor	RBA
Provide requested documents to SPO & RBA for review and make revisions as requested	PI / ISO
Review and confirm the list of grants and the amounts in addition to the effort on Other Support	RBA
Prior to submitting, ensure all required information is present in correct format, and all research proposals are represented in Other Support	SPO
Work with AOR to submit, or directly submit JIT item(s) to sponsor/prime	SPO

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3. Award Acceptance and Modification

Task	Responsible
If award/contract is received by PI, directly forward to SPO and/or GCS	PI
Review notice of award/contract and accept in eSPA	PI
If the originally proposed budget has been cut, RBA will work with PI to reconcile budget and update budget in eSPA	RBA / PI
Enter sponsor deliverables in eSPA, route and update eSPA record	SPO/GCS
Arrange a project kick-off meeting with SPO/RBA/PI to review project deliverables & financials	ISO

4. Outgoing Consulting Agreements

Task	Responsible
PI/PID launch OCA request and complete smartforms in eAgreements	PI/PID
Verify that the activity qualifies as a consulting activity	ISO / PI
Obtain copy of the completed W8 or W9 form from the prospective consultant	ISO / PI
Review smart forms in eAgreements to ensure that it is a valid consulting agreement; review period of performance against awarded project or IDF	GCS
Review budget and confirm grant ID in eAgreements (contact department if departmental funds)	RBA
Notify Pre- and Post-Award Office Coordinator to obtain the Purchase Order number	GCS
Request, obtain and enter PO number in record	Pre- and Post-Award Office Coordinator
Review and negotiate, as needed	GCS
Review and sign OCA, via DocuSign or wet signature	PI
Complete final approval in eAgreements	GCS
Launch amendment workspaces as needed	PI/PID

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Post-Award Administration

1. Fiscal Year Grant Allocations

Task	Responsible
Facilitate monthly / quarterly portfolio review meetings with RBA / PI	ISO
Consult with RBA on upcoming fiscal year research support	PI
Provide projected research support (within agreed-upon schedule) as part of annual operating budget for upcoming fiscal year for all faculty	RBA
Finalize PI's research allocations on research funding notice (RFN) prior to annual budget meetings	RBA

2. Monthly/Quarterly Portfolio Review

Task	Responsible
Schedule and facilitate portfolio review meetings with PI and PID/CAD monthly, or at least once per quarter, to review the status of research and grant accounts	RBA
Meet with RBA to review expenses, allocations, effort for all accounts	PI / ISO
Review and verify that all expenses are appropriately charged to accounts and monitor spending in comparison to budget	PI
Find misappropriated charges and alert RBA that cost transfers are required	PI
Prepare cost transfers for research accounts and work with PI to develop over 90-days justification	RBA
Alert RBA to new funding and/or changes in funding and effort and salary allocations within 30 days of the effective date; inform RBA of any new grant submissions	PI
Complete monthly reconciliation of research and grant accounts; share work-ups with PI	RBA

3. Progress Report

Task	Responsible
Complete continuation (PR) workspace in eSPA, including all certifications	PI / ISO
If NIH progress report, initiate RPPR in the eRA Commons	PI / ISO
If applicable, secure necessary subaward documents need to be secured (all personnel report, signed face page and budget for the next budget period)	SPO
Provide updated Other Support, if needed	ISO
Confirm effort, commitment(s), unobligated balance, and effort on Other Support document(s) if needed	RBA

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Review eSPA continuation (PR) workspace for completeness of record; review progress report to ensure compliance with sponsor guidelines (if NIH RPPR, forward to AOR for submission)	SPO
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4. No-Cost Extension

Task	Responsible
Communicate requested changes to SPO/GCS/ISO	PI
Initiate modification in eSPA	SPO / GCS
Prepare and submit (written) scientific justification for NCE with explanation for project delay, specify number of months to extend project, and details on any effort reductions to occur during NCE period	PI / ISO
Acquire written NCE request from PI to upload in eSpa; review request for required content (length of time, reason for project delay, what will be completed during the extension, etc.)	SPO
Review request for required budgetary content (budget, remaining balance, etc.)	RBA
Route and update eSPA record	SPO / GCS
Assist with submission (Commons, ProposalCentral, email, etc.)	SPO

Other Administrative Services:

1. MTAs, DUAs, and CDA's

Task	Responsible
Notify ISO of need to submit request for MTA, DUA, or CDA	PI
Initiate record in Sophia and work with PI to obtain answers to all required questions	ISO
Submit agreement request in Sophia	ISO
Review agreement request and address any additional questions with PI	OCCRC (see departmental assignments here)
Create draft agreement, negotiate terms with other party, and facilitate execution of final agreement	OCCRC

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2. Job Postings

Task	Responsible
Alert ISO and RBA of intent to hire new lab staff; ensure ISO staff is given delegate access to PI's Workday tasks	PI
Work with PI to determine characteristics of job posting (e.g., title/role, whether it is an existing position or new position, funding source)	ISO
Confirm that PI has adequate funding for position	RBA
Submit job "seat" request and once approved, requisition request in Workday	ISO
Once requisition is approved in Workday, reach out to PI to discuss details of job posting	Recruiter
As resumes and applications are received, send to PI for review	Recruiter
Review resumes, conduct interviews, and notify recruiter when they would like extend an offer to a candidate	PI
Extend and negotiate offer with candidate	Recruiter

3. Creative Services

Task	Responsible
Create Step-by-Step Guide for participants to engage with Creative Services	ISO

4. Expense Reimbursements

Task	Responsible
PI informs ISO that they have expenses that need to be reimbursed; provides details of expenses and appropriate documentation to ISO (backup copies of invoices / receipts, other backup documentation)	PI
Submit expense reimbursement requests in Workday on behalf of PI	ISO
Work with PI to address any questions	ISO

5. Post-award / Financial Support

Task	Responsible
Attend regular financial meetings with RBA and PI; follow up on any action items discussed in meetings	ISO
Assist PI's with understanding financial reports	ISO