

Office of Research Administration – Roles and Responsibilities Matrix

Revision date -4/25/22

Roles and Responsibilities

Submitting proposals, executing awards, conducting research, and administrating sponsored projects involves many different people and units throughout the University of Miami campuses. While there may be some minor variations in processes from Department to Department and College to College, the matrix below outlines the general process and identifies the appropriate party that has primary responsibility for different activities throughout the life cycle of a sponsored award.

Identification of Funding Opportunities

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Search for funding opportunities	X	X			OVPRS
Provide guidance on funding opportunities		X	X		OVPRS

Proposal Preparation

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Write technical narrative	X				
Identify subcontractors and request budget and work scope materials	X	X			
Develop budget	X	X			
Identify need for cost sharing funds and obtain documentation for cost share support	X	X			
Evaluate requests for F&A waivers or reductions		X	X		OVPRS
Coordinate space arrangements		X			
Provide guidance on proposal preparation		X	X		
Route Proposal	X	X	X		

Regulatory Requirements

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional BioSafety, Dept. of Environmental Health and Safety, Conflict of Interest Disclosures, etc.	X				HSRO, IACUC, IBC, EH&S, DSAM
Reviews and endorses compliance forms as needed		X			HSRO, IACUC, IBC, EH&S, DSAM
Institutional oversight and facilitation of compliance issues			X	X	OVPRS
Ensure that protocols and approvals for regulatory compliance requirements are kept current throughout the life of the project as required	X	X			HSRO, IACUC, IBC, EH&S, DSAM

Proposal Review and Approval

Roles and Responsibilities	PI	Dept/ College	Pre-Award ORA	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Confirm that proposal meets sponsor requirements (text, margins, font, page limits, etc)	X	X	X		
Review proposal before sending proposal to ORA	X	X			
Verify that cost sharing in proposal is listed and that all commitments have been secured	X	X	X		
Review proposed cost sharing for appropriateness	X	X	X		
Programmatic review of proposal	X	X			
Provide institutional review and approval of proposal			X		

Proposal Submission

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Electronic Submission			X – unless deviation is agreed to by ORA		
Paper Submission	X – after ORA signoff	X – after ORA signoff			

Advance Accounts

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Request advance account	X	X	X		
Establish advance account				X	
Monitor advance account	X	X		X	

Award Acceptance

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Accept sponsor notification of grant or contract award			X		
Review and negotiate terms and conditions for Grants, Contracts, Cooperative Agreements, incoming MTA's, Equipment Loan Agreements, and other types of funding			X		
Provide feedback on nonstandard terms and conditions when applicable	X	X	X	X	OTT, GC, Risk Privacy
Negotiate & execute contractual terms and conditions			X		
Review and accept award terms and conditions			X		

Award Set-up

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial account set-up	X	X	X	X	
Review award budget	X	X		X	
Establish account number				X	

Award Administration

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Prepare financial transactions		X			
Initiate re-budgeting requests	X	X			
Obtain sponsor approval of re-budgeting requests, where required		X		X	
Initiate no cost extensions	X	X			
Submit no cost extension notifications to sponsor as required	X	X		X	
Request no cost extension from sponsor as required	X	X	X		
Ensure that cost sharing is documented	X	X		X	
Initiate purchases via PCard or with Procurement as appropriate	X	X			
Review and approve financial transactions (thresholds incl.)	X	X		X	
Use financial reports to monitor and oversee expenditures	X	X		X	
Review and reconcile accounts on a monthly basis	X	X			
Coordinate resolution of issues on oversight reports				X	
Audit expenditures				X	

Program Income

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Identify program income	X	X	X		
Invoice program income		X			
Receive and deposit program income		X		X	
Identify use and reportability of program income		X		X	
Monitor program income levels	X	X		X	

Invoicing & Financial Reporting

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Prepare and submit the invoice or financial report		X (occasionally in conjunction w/ ORA)		X	

Invoices – Pharmaceutical Clinical Trials

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Submit Case Reports to Sponsor's Portal		X			
Create Adhoc Invoice in Velos		X			

Accounts Receivable Management

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Receive and deposit payments from sponsors				X	
Produce and record a letter of credit draw request (federal awards)				X	
Monitor and pursue the collections of overdue payments from sponsors				X	

Prior Approvals

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Initiate prior approvals for changes to project	X	X			
Request and obtain prior approval from the sponsor			X		
Ensure regulatory compliance offices are notified of changes to project and approval obtained when required	X	X			HSRO, IACUC, IBC, EH&S, DSAM

Subcontracts and Subawards

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Submit Subaward and Subaward Modification Requests to ORA	X	X			
Oversee programmatic aspects of subaward	X				
Prepare, negotiate, and execute subawards			X		
Review, approve and forward subaward invoices for payment	X				Accounts Payable
Subrecipient monitoring	X	X	X	X	

Subcontracting Plan

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Determine if a Small Business Subcontracting Plan is Needed	X	X	X		
Prepare Small Business Subcontracting Plan	X	X	X		Supply Chain Services, Diversity
Provide Small Business Subcontracting Plan to Sponsor			X		
Prepare and Submit Small Business Subcontracting Plan Reports		Input provided by Dept.		X	Supply Chain Services

Technical Data and Reports

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Ensure integrity of all research data	X	X			
Prepare and submit annual technical reports to sponsor	X		X		
Prepare and submit final technical reports to sponsor	X			X	
Maintain the official copy of the technical report	X	X		X	

Personnel and Effort Certification/Salary Confirmation

Roles and Responsibilities	PI	Dept/ College	ORA Pre-Award	ORA Post-Award	Other(OTT, Supply Chain Services, OVPRS)
Initiate hiring and appointment process	X	X			
Identify and initiate any screenings required (e-Verify, foreign visitor screening)	X	X			
Complete necessary adjustments to award charges or and/or payroll distribution		X			
Obtain necessary supervisory reviews and approvals		X			
Ensure accuracy of completed effort certification	X	X			ORA Cost Analysis
Resolve problems or follow up on certifications not submitted		X			ORA Cost Analysis

Project End and Close-out

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Identify early close-out situations	X	X	X	X	
Ensure all appropriate expenditures have been posted to accounts		X			
Prepare final financial invoice/report				X	
Resolve issues related to unreconciled accounts		X		X	
Ensure that all financial reports have been submitted to sponsor				X	
Monitor submission of Final Technical Reports to sponsor	X			X	
Monitor submission of Final Invention reports to sponsor				X	OTT
Monitor submission of Patent reports to sponsor				X	OTT
Inactivate award account(s) in financial accounting system				X	
Maintain official project closeout documents for sponsored projects		X		X	OTT

Audits

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Point of contact liaison for all sponsored audits				X	OVPRS for FDA Audits
Coordinate the Single audit for the University				X	
Provide support and/or source documentation as requested by auditors	X	X	X	X	OTT, Supply Chain, and OVPRS

Ongoing Training

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Remain current regarding changes to policies and regulations	X	X	X	X	OVPRS, Cost Analysis
Provide training opportunities to the research community regarding policies and regulations			X	X	OVPRS, Cost Analysis

Intellectual Property (IP)

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, OVPRS)
Request a waiver from the University's IP Policy for a specific sponsored project	X	X			
Review/recommend action on waiver of IP Policy on a specific sponsored project			X		OVPRS
Review, Negotiate, and Execute Inbound MTA's			X		
Review, Negotiate, and Execute Outbound MTA's					OTT
Evaluate commercial viability of University IP					OTT
Disclose IP to OTC, complete Invention Disclosure Forms	X	X			
Market, negotiate and enter into license agreements for University IP					OTT
Report Federally funded inventions to government (Bayh-Dole)					OTT
Receive Royalty Income and Process Distribution					OTT

Provide oversight of patent prosecution					OTT
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ClinCard Program

Roles and Responsibilities	PI	Dept/ College	ORA Pre- Award	ORA Post- Award	Other(OTT, Supply Chain Services, VPR)
Educate Study Team on study enrollment requirements, University and federal requirements, ORA's ClinCard website, the costs & workings of the Program, and efficient payments	X	X			Cost Analysis
Review all study enrollment documents, especially ensure ICF and IRB have the required language					Cost Analysis
Submit revisions to ICF and IRB if needed	X	X			HSRO/External IRB
Enroll study and Study Team members into ClinCard program					Cost Analysis
Provide ClinCards. Monitor usage activity, including miscellaneous payments, inactive users, and any potential internal issues, Resolve issues when applicable. Provide reporting and Internal Customer Service as needed.	X	X			Cost Analysis
Monitor external issues and resolve when applicable	X	X			Cost Analysis Greenphire
Reimburse ClinCard account of funds paid to participants	X	X			Cost Analysis
Invoice departments for usage fees and cost of cards		X			Cost Analysis
Inactivate Study Team members and studies in ClinCard system as needed	X	X			Cost Analysis Greenphire

Definitions:

Accounts Payable

Accounts Payable is responsible for making payments owed by UM to suppliers and paying invoices.

College

Colleges (or Schools) house individual departments, grouped by specific disciplines, which provide the overarching financial, supervisory and administrative oversight to its departments.

Cost Analysis

The Cost Analysis Team is responsible for critical financial and operational functions including monthly financial reconciliations, recharge/service center rates, human subject incentive ClinCard program, effort certification, and facilities and administrative (F&A) rate negotiation. They partner with Post Award to provide support on complex projects, audit, and initiatives and improving effectiveness, efficiency, compliance, education, and customer service aspects of business processes, systems, and staff support in sponsored program administration.

Department

The unit within a particular college at the University that provides administrative support for sponsored projects.

Disclosures and Scholarly Activities Management (DSAM)

Under the OVPRS, DSAM and the UM Conflict of Interest Committee determines whether an investigator's relationship with an external entity creates a situation that could introduce bias into the scholarly activities conducted at UM or by UM investigators and where this occurs to manage it.

Environmental Health and Safety (EH&S)

The EH&S provides regulatory guidance in the areas of occupational and environmental health and safety through disseminating pertinent information, offering training opportunities and making available technical and professional assistance on related fields of support of and enhances the University's commitment to provide a safe and healthy workplace for its faculty, staff, and students.

General Counsel (GC)

The Office of General Counsel supports the dynamic educational and research environment of the University of Miami by providing legal advice to promote sound decision making in all areas of operation, research, and administration. GC's function is to provide, manage, and coordinate quality legal services including legal counsel and representation, litigation, and legal risk management, contract drafting and review and advising on compliance for all parts of the University.

Human Subject Research Office (HSRO)

Under the OVPRS, the HSRO provides administrative support to UM's Institutional Review Boards by maintaining files on all human research at UM and the Jackson Health System, maintaining a database for tracking all research proposals, serving as a resource on general regulatory information, conducting educational workshops and publishing UM's Standard Operating Procedures for human research.

Institutional Animal Care and Use Committee (IACUC)

Under the OVPRS, the IACUC ensures that all faculty and staff comply with federal and state guidelines concerning the use of animals in research and teaching. The IACUC reviews and approves animal use protocols, ensures that investigators and staff are properly trained, ensures that research and teaching activities conform to the best practices, inspects animal care, and use facilities, reviews the animal care and use program semiannually and investigates concerns raised by faculty and staff regarding the humane care and use of lab animals.

Institutional Biosafety Committee (IBC)

The IBC is a committee responsible for providing institutional oversight of recombinant DNA research with the mission to ensure all recombinant DNA research activities comply with the National Institutes of Health guidelines for research involving recombinant DNA molecules.

Office of Research Administration (ORA Pre-Award)

On behalf of the University, and with the delegation of signature authority on behalf of UM, ORA facilitates the submission of all sponsored projects proposals, negotiates, and executes agreements, provides sponsored projects education and communication, and assists faculty, staff, and students in managing projects which are awarded to the University

Office of Research Administration (ORA Post-Award)

The ORA Post-Award Unit performs the following functions: maintain official UM financial oversight of sponsored project accounts on behalf of the University, invoice sponsors or draw down funds from sponsors, submit financial reports, assist faculty, staff, and students in the financial aspects of sponsored awards, primary responsibility for effort reporting and serve as the primary point of contact for auditors.

Office of Technology Transfer (OTT)

The Office of Technology Transfer provides expert guidance, support, and assistance in safeguarding intellectual property, encouraging research, facilitating technological transfer, and promoting collaborative technology transfer and development agreements with industrial partners.

Office of the Vice Provost for Research & Scholarship (OVPRS)

The OVPRS provides oversight and support for all aspects of research at the University and is organized into five administrative sections: Research Development and Evaluation, Research Capacity & Operations, Research Administration, Regulatory Affairs and Assessment, and Research Communications and Dissemination.

Principal Investigator (PI)

The individual designated by the University, and approved by the Sponsor, who will be responsible for the scientific/technical design, conduct and reporting of a sponsored project.

Supply Chain Services

The Department of Procurement and Supply provides the following services: establishes and administers procurement contracts effectively; procures facilities, goods and services for best value; Delegates procurement authority to promote efficiency; provides value-added physical distribution services; ensures University business is conducted in a fair and open environment, in full compliance with applicable laws and regulations.

University and Research Privacy (Privacy)

Under the OVPRS and Audit and Compliance, Privacy supports privacy concerns across the University and research enterprise. Privacy oversees ongoing activities related to the development, implementation, and maintenance of the University's research program's adherence to privacy principles in accordance with applicable state, federal, and international laws, regulations, and rules.