



University of Kentucky - Project GATeWAY
Service Catalog & RACI Matrix

What is a Service Catalog?

The Service Catalog is an output of the Project GATeWAY design phase which represents the levels of shared responsibility (levels of shared) at which each key activity takes place as defined and designed in Structure Working Groups. Once complete, the Service Catalog can be used to clearly define the role of each levels of shared within the future state operating model.

How was the Service Catalog developed?

The Service Catalog was develop by:

- 1** Compiling the key notes and feedback from Structure visioning sessions, Collaboratives Working Groups, and Working Group Champions.
- 2** Reviewing future state business process flows
- 3** Cross checking current flows with the alignment of levels of shared agreed upon.

What does RACI stand for?

<u>Responsible</u>	Who is responsible for doing the actual work for the task.
<u>Accountable</u>	Who is accountable for the success of the task and is the decision-maker.
<u>Consulted</u>	Who needs to be consulted for details and additional info on requirements (e.g., subject matter expert).
<u>Informed</u>	Who needs to be kept informed of major updates.



University of Kentucky - Project GATEWAY
Service Catalog

#	Collaboratives Pre or Post-Award Team	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Collaboratives Responsibilities	PI Responsibilities
1	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Assist in the pre-proposal or Letter of Intent (LOI) process for sponsors that require pre-application submission prior to full proposal	<ul style="list-style-type: none"> • Receive notification from PI with funding opportunity information • Aid in the review of requirements, collecting required institutional information, and compiling required information which may include budgets and Internal Approval Form (eIAF) • Route to OSPA for review and institutional endorsement (as needed) by prescribed internal deadline(s) • Follow-up to ensure submission and notify PI upon completion • Aid in interpretation of requirements and ensuring accuracy and completeness of proposal information prior to submission to OSPA 	<ul style="list-style-type: none"> • Notify Collaboratives of intent to submit pre-proposal or Letter of Intent • Provide required documentation to Collaboratives for submission
2	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Prepare monthly list of upcoming proposals to OSPA	<ul style="list-style-type: none"> • Document all upcoming proposals (eIAF, pre-proposals, LOIs, Other Support, etc.) in a Collaboratives centralized file for Hub leadership to compile and send to OSPA • Create draft eIAFs for each proposal 	<ul style="list-style-type: none"> • Notify Collaboratives of intent to submit proposal
3	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Provide checklist of sponsor requirements based on guidelines for proposal submission	<ul style="list-style-type: none"> • As needed, develop checklist of specific RFP requirements and guidelines to be shared with PI, collaborators, and proposal team to aid in proposal development processes 	--
4	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Create timeline to keep faculty member on track for sponsor deadline	<ul style="list-style-type: none"> • Provide PI and proposal team with timeline with review as well as College-specific compliance standards and submission deadlines • Follow up to ensure timely progress 	<ul style="list-style-type: none"> • Review and adhere to proposal timeline and submission deadlines per institutional policies
5	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Complete and aid in the development of the administrative components of a proposal, including F&A waivers, cost share approvals, and off-campus determinations	<ul style="list-style-type: none"> • Aid in the development of any administrative components of a proposal, including using UK-specific templates where available and working with PI to revise and update as needed • Update Current and Pending/Other Support documentation as needed where required at proposal submission • Review Bio Sketches/CVs for formatting and content compliance in collaboration with PI and key personnel • Discuss any variations in indirect costs with PI and College leadership. Request F&A waiver and obtain required approvals from College leadership and OSPA Director (if applicable) • Discuss any cost share requirements or voluntary commitments with PI and College leadership and coordinate required approvals/documentation • Support proposal process for internal grants 	<ul style="list-style-type: none"> • Update Current and Pending/Other Support documentation as needed • Review and update Bio Sketches/CVs as needed • Discuss any indirect cost variations and/or cost share commitments with Collaboratives and College leadership, assisting in obtaining required approvals and documentation
6	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information	<ul style="list-style-type: none"> • Develop and refine proposal budgets and budget justification/narratives in collaboration with the PI, including enrichment allocation options • Coordinate with College leadership and other Collaboratives team members to obtain and verify appropriate salary information for personnel proposed on budget 	<ul style="list-style-type: none"> • Iterate on and refine proposal budgets and budget justification/narratives in collaboration with Collaboratives, including enrichment allocation options
7	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Coordinate with any subrecipients to develop and obtain budgetary and administrative documents	<ul style="list-style-type: none"> • Provide guidelines to subcontractors and collect: required budget information, and institutional forms, in addition to required proposal documentation • Evaluate vendor vs sub to ensure accuracy, approvals, and appropriate F&A budget 	<ul style="list-style-type: none"> • Provide subrecipient contact information
8	Pre-Award	Pre-Award Administration	01 Develop Sponsored Project Proposal	Compile all required documents and ensure compliance with institutional and sponsor-specific policies	<ul style="list-style-type: none"> • Complete institutional information on sponsor-specific forms and/or upload documentation to sponsor system or in sponsor format • Confirm researcher role in FCOI Smart for investigators and completion of current Conflict of Interest (COI) • Contact COI administrator for additional review as needed based on sponsor terms and institutional policy • Confirm the PI and other key personnel have required registrations in sponsor systems 	<ul style="list-style-type: none"> • Develop required technical documentation • Ensure institutional compliance (FCOI) submissions are up-to-date • Send draft and final materials to Collaboratives for compilation and upload
9	Pre-Award	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Prepare eIAF, including tracking the routing of it and following up to facilitate its completion	<ul style="list-style-type: none"> • Create eIAF and upload required documentation • Submit for approval • Monitor progress to ensure approvals are obtained and coordinate with collaborators and College leadership to resolve any questions or concerns. 	<ul style="list-style-type: none"> • Complete required approvals in eIAF • Facilitate routing of eIAF and required documents
10	Pre-Award	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Ensure a review of the final proposal prior to submission based on institutional policies and procedures	<ul style="list-style-type: none"> • Submit draft proposal information and/or documents to OSPA RA for review • Discuss any corrections/edits to be made with PI and work to revise proposal • Prepare final version of application and coordinate final review with the PI • Alert OSPA RA to any major changes requiring re-review and send revised documents as needed 	<ul style="list-style-type: none"> • Discuss any corrections/edits provided by OSPA with Collaboratives and work to revise proposal • Review final proposal documentation and approve submission

11	Pre-Award	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Coordinate/arrange for prior approvals of ADR and others as needed when internal deadlines are missed for proposal being submitted to OSPA and eIAF not being fully routed before proposal submission	<ul style="list-style-type: none"> • Monitor progress to ensure eIAF approvals are obtained and coordinate with collaborators and College leadership to resolve any questions or concerns • Coordinate approvals from stakeholders as needed when internal proposal deadlines are missed • Advise regarding potential risks or issues with proposal 	<ul style="list-style-type: none"> • Coordinate with Collaborators to ensure required approvals are obtained
12	Pre-Award	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Serve as the primary liaison between PIs and OSPA, ensure timeliness of submission, and communicate deadlines	<ul style="list-style-type: none"> • Communicate and coordinate with OSPA RA to ensure proposal is reviewed and submitted • If the PI must submit the proposal due to sponsor systems or relationships, coordinate to ensure submission, notify OSPA upon submission, and provide final copy to OSPA 	<ul style="list-style-type: none"> • If responsible for submission, send a final proposal copy to Collaborators for the institution's files
13	Pre-Award	Pre-Award Administration	03 Current and Pending Support or Other Support	Aid in the collection, preparation, and dissemination of Current & Pending documentation for sponsors	<ul style="list-style-type: none"> • Prepare Current & Pending/Other Support using the Other Support Portal following associated instructions for expectations 	<ul style="list-style-type: none"> • Prepare and maintain Current & Pending/Other Support documentation
14	Pre-Award	Pre-Award Administration	04 Post-Submission Activities	Advise faculty member of requirements for Just in Time (JIT) or other post-submission materials and assist in preparation of response	<ul style="list-style-type: none"> • Work with PI to prepare and review required JIT or post-submission documents • Advise PI of any unique requirements and follow-up to ensure completion 	<ul style="list-style-type: none"> • Notify Collaborators of any post-submission materials to be submitted if not requested by sponsor • Manage compliance approvals (IRB, IACUC, IBC) and provide relevant information to Collaborators for submission
15	Pre-Award	Pre-Award Administration	04 Post-Submission Activities	Ensure a review of the final JIT or post-submission material response prior to submission to OSPA based on institutional pre-award procedures	<ul style="list-style-type: none"> • Submit final JIT or post-submission documents to OSPA for review and submission 	--
16	Post-Award	Pre-Award Administration	05 Review and Execute Formal Sponsored Project Awards and Agreements	Support OSPA and RFS with the award set up process through communication and providing updated documentation as needed (including awarded budget updates, setup in College-specific system, etc.)	<ul style="list-style-type: none"> • Request E-accounts as needed • Review award documents • Prepare and submit revised budgetary information, as needed, to OSPA to facilitate award setup • Coordinate with PI to resolve any compliance holds 	<ul style="list-style-type: none"> • Review award documents and work with Collaborators to develop revised budgetary information and/or provide additional required information
17	Post-Award	Award Set-Up	06 Establish Sponsored Projects	Review the established award in the financial system for accuracy and submit requests to OSPA and RFS, as needed	<ul style="list-style-type: none"> • Review award setup data, PADR, and confirm data is required • Validate special terms & conditions or award specific issues are clearly identified and communicated in the PADR remarks • Request scope accounts (if not addressed at the eIAF and proposal budget stage) and/or discuss any concerns/questions about award setup with OSPA 	<ul style="list-style-type: none"> • Receive PADR and notification of final award setup • Review award documents and PADR using checklist
18	Post-Award	Award Set-Up	06 Establish Sponsored Projects	Facilitate the communication of award terms and conditions, status of award review, and other relevant updates to PIs	<ul style="list-style-type: none"> • Coordinate virtual or in-person kickoff meeting with pre-award administrator, College Department Administrator (DA)/Business Officer (BO), and PI to discuss award terms, spending plan, next steps, and other project kick-off activities 	<ul style="list-style-type: none"> • Coordinate virtual or in-person kickoff meeting with Collaborators pre and post-award administration, and College DA/BO to discuss award, spending plan, and next steps
19	Post-Award	Award Set-Up	07 Establish Subawards	Request outgoing subaward agreement from OSPA and submit all required documentation for review	<ul style="list-style-type: none"> • Review subaward documents collected at time of proposal submission • Request updated/revised documentation from subrecipients as needed • Compile and upload subaward request information through online system for new subawards and amendments • Follow up with OSPA and coordinate follow up with subrecipients as needed • Ensure post-award is listed as the SIR for the department and award. If Subaward Invoice Reviewer (SIR) needs to be account specific, email subawards@uky.edu to add self as SIR on account 	<ul style="list-style-type: none"> • Review updated budget information for subrecipients as needed with Collaborators • Submit subaward request information through online system for new subawards and amendments • Provide approval to proceed with outgoing subaward request
20	Post-Award	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	<ul style="list-style-type: none"> • Advise PIs and RFS of cost share commitments and potential risks • Monitor and track cost share commitments through the life of the award to ensure commitments are met 	<ul style="list-style-type: none"> • Review cost share commitments with PI and College DA/BO during award setup to confirm how they will be funded and recorded • Monitor commitments and review with PI and College DA/BO during monthly award review meetings 	<ul style="list-style-type: none"> • Monitor cost share commitments and work with Collaborators and College DA/BO to ensure commitments are met
21	Post-Award	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Develop and submit payroll cost transfer requests and documentation through collaboration with BOs and PIs	<ul style="list-style-type: none"> • As identified during monthly review meetings with PI and College DA/BO, advise, prepare, and submit payroll cost transfer requests • Advise, as needed, on Cost Distribution Entry Module (CDEM) entry done by local unit 	--
22	Post-Award	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Develop and submit non-payroll cost transfer requests and documentation through collaboration with BOs and PIs	<ul style="list-style-type: none"> • As identified during monthly review meetings with PI and College DA/BO, advise, prepare, and submit non-payroll cost transfer requests 	--
23	Post-Award	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Ensure cost transfers have been correctly processed and follow up with RFS as needed	<ul style="list-style-type: none"> • During monthly reviews or as processed, track cost transfers and follow up to ensure corrections have been accurately processed • Coordinate with RFS, as needed, to resolve any issues 	--

24	Post-Award	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Create and delete non-system generated encumbrances as needed to ensure accurate spend forecasting	<ul style="list-style-type: none"> As identified during award setup and spending plan development, create manual encumbrances in system Review encumbrances monthly as part of monthly award status meetings Delete non-system generated encumbrances as needed and during closeout window 	--
25	Post-Award	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Monitor active subcontracts to ensure programmatic progress and compliance	<ul style="list-style-type: none"> Ensure PI is regularly monitoring programmatic progress of subrecipients Review timing of prior invoices and follow up with subrecipient as needed if there are delays/gaps to identify any programmatic issues 	<ul style="list-style-type: none"> Regularly monitor subrecipient activity and escalate issues to Collaboratives and OSPA
26	Post-Award	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Review subcontract invoices for accuracy and address questions regarding payment	<ul style="list-style-type: none"> Review invoice per checklist/approval guide Coordinate with Accounts Payable (UKHC or main campus) to release autoblocks if needed Work with OSPA and subrecipient to resolve any invoice delays/issues due to amendments in progress Monitor invoice reviews and approvals based on SOPs and policies 	<ul style="list-style-type: none"> Review and approve subrecipient invoices ensuring accuracy and providing assurance that programmatic activities are being met
27	Post-Award	Award Set-Up	10 Maintain Sponsored Projects	Ensure appropriate documentation is maintained to demonstrate compliance with guidelines related to expenditures	<ul style="list-style-type: none"> Advise and aid in retention of institutional required documentation 	<ul style="list-style-type: none"> Provide documentation as needed to Collaboratives staff
28	Post-Award	Award Set-Up	10 Maintain Sponsored Projects	Coordinate and submit requests to OSPA and RFS for project changes, prior approvals, revisions etc.	<ul style="list-style-type: none"> Work with PI to identify need for project/budget changes in intended use of funds Coordinate preparation and submission of any sponsor prior approval documentation to OSPA 	<ul style="list-style-type: none"> Notify Collaboratives of need for project changes Provide sponsor-required justification/documentation for prior approvals
29	Post-Award	Award Set-Up	10 Maintain Sponsored Projects	Serve as liaison between PIs, OSPA and RFS to ensure timeliness of submission for relevant post-award documentation	<ul style="list-style-type: none"> Communicate and coordinate with OSPA Research Administrator to ensure requests are reviewed and submitted Follow up as needed to ensure sponsor response is received and relevant systems are updated 	--
30	Post-Award	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Monitor budgets and expenses and advise PIs accordingly (e.g., burn rate, budget/expense forecasting, etc.)	<ul style="list-style-type: none"> Review and reconcile award expenditures monthly to ensure allowability, allocability, and reasonableness following all institutional SOPs and policies for documentation Ensure appropriate documentation is maintained for expenditures Identify any potentially unallowable expenses for discussion with PI and College DA/BO Meet with PI and College DA/BO to discuss award status, burn rate, projections, potential corrections, and compile action plan to implement changes/solutions 	<ul style="list-style-type: none"> Meet with Collaboratives and College DA/BO to discuss award status, burn rate, and projections Review suggested changes/corrections and provide approval for Collaboratives and College DA/BO to move forward with changes
31	Post-Award	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare monthly forecast sheets that summarize a faculty member's financial position and track spending per account	<ul style="list-style-type: none"> During monthly review, prepare projections for PI portfolio using standard template to identify burn rate and allow for scenario analysis During monthly meeting, review projections and update as needed to address potential overspend/underspend 	<ul style="list-style-type: none"> Review financial position and spending with Collaboratives staff and College leadership monthly
32	Post-Award	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare and submit sponsor-required progress reports (RPPRs or other similar reports)	<ul style="list-style-type: none"> Aid in the preparation, routing, and submission of sponsor-required progress reports, including Research Performance Progress Reports (RPPR) Ensure appropriate routing and approvals and follow-up to ensure submission of progress reports 	<ul style="list-style-type: none"> Prepare and submit sponsor-required progress reports, including RPPRs
33	Post-Award	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Provide and/or elevate requests to develop other research administration reports as needed to suit faculty and unit needs	<ul style="list-style-type: none"> As needs are identified, escalate PI or team member report requests through Collaboratives leadership 	--
34	Post-Award	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare/submit required equipment and small business subcontracting reports	<ul style="list-style-type: none"> Coordinate with PI to prepare any required equipment and small business subcontracting reports Facilitate submission of required reports to OSPA for institutional endorsement and submission as needed 	--
35	Post-Award	Sponsored Project Closeout	12 Execute Closeout Activities	<ul style="list-style-type: none"> Review grant financials prior to the submission of sponsor-required reports Discuss potential for carryforward requests and/or deficits with the PI and coordinate the process with OSPA and RFS 	<ul style="list-style-type: none"> Perform final review and reconciliation and any final corrections prior to account close window in SAP to ensure timely submissions of corrections and final payments are complete prior to Financial Administrator (FA) review window Document justification for purchases (if made in last 6 months) Request liquidation of outstanding POs Coordinate with PI to submit any required non-financial reports Submit non-financial reports and documentation to OSPA for endorsement (if non-financial reports require institutional approval) Communicate with RFS of any outstanding issues before close-out cycle and when final review and reconciliation is complete 	<ul style="list-style-type: none"> Submit non-financial reports to Sponsor including Research Performance Progress Report (FRPPR)
36	Post-Award	Sponsored Project Closeout	12 Execute Closeout Activities	Provide required documentation needed for invoicing or reporting to RFS as required by award/sponsor	<ul style="list-style-type: none"> Coordinate with PI to submit any non-financial documentation required for billing to RFS (ex. Progress reports, milestone completion documentation) and communicate any issues or risks with College leadership 	<ul style="list-style-type: none"> Notify Collaboratives when requirements are met for invoicing

37	Post-Award	Sponsored Project Closeout	12 Execute Closeout Activities	Prepare cash transmittals for all live checks and cash received directly and submit to Treasury Services for posting and OSPA for budget adjustments when needed	<ul style="list-style-type: none"> Advise on the appropriate cash receipt process to get the check where it needs to go 	<ul style="list-style-type: none"> Notify Collaboratives when reimbursement is expected for travel from outside entity for presenting at conferences Alert Collaboratives of any external travel reimbursements
38	Post-Award	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	Communicate payroll confirmation policies to PIs/research staff, and partner with PIs to distribute/track the process	<ul style="list-style-type: none"> Effort and salary should be reviewed and verified monthly as part of the monthly award status meetings Ensure PI is aware of institutional payroll confirmation requirements and deadlines Follow up with PI to ensure submission and appropriate approval of payroll confirmation in system 	<ul style="list-style-type: none"> Adhere to deadlines for confirmation and communicate any issues or inconsistencies timely
39	Post-Award	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	Coordinate with faculty, College, and OSPA to collect and disseminate leave of absence information and manage any changes to active projects and pending awards	<ul style="list-style-type: none"> As needed, collaborate with PI and College leadership to prepare, compile, and submit leave of absence/MOU information Request any required prior approvals through OSPA for changes to award activities based on leave of absence information 	<ul style="list-style-type: none"> Communicate leave of absence and changes to College leadership and Collaboratives



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RACI Matrix

#	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Responsible	Accountable	Consulted	Informed
1	Pre-Award Administration	01 Develop Sponsored Project Proposal	Assist in the pre-proposal or LOI process for sponsors that require pre-application submission prior to full proposal	Collaboratives	PI	OSPA	OSPA College/Department Business Officer/Administrator
2	Pre-Award Administration	01 Develop Sponsored Project Proposal	Prepare monthly list of upcoming proposals to OSPA	Collaboratives	Collaboratives	PI	OSPA College/Department Business Officer/Administrator
3	Pre-Award Administration	01 Develop Sponsored Project Proposal	Provide checklist of sponsor requirements based on guidelines for proposal submission	Collaboratives	Collaboratives	OSPA	PI
4	Pre-Award Administration	01 Develop Sponsored Project Proposal	Create timeline to keep faculty member on track for sponsor deadline	Collaboratives	PI	OSPA	OSPA College/Department Business Officer/Administrator
5	Pre-Award Administration	01 Develop Sponsored Project Proposal	Complete and aid in the development of the administrative components of a proposal, including F&A waivers, cost share approvals, and off-campus determinations	Collaboratives	PI	OSPA	College/Department Business Officer/Administrator
6	Pre-Award Administration	01 Develop Sponsored Project Proposal	Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information	Collaboratives	PI	OSPA College/Department Business Officer/Administrator	College/Department Business Officer/Administrator
7	Pre-Award Administration	01 Develop Sponsored Project Proposal	Coordinate with any subrecipients to develop and obtain budgetary and administrative documents	Collaboratives	PI	PI OSPA	PI
8	Pre-Award Administration	01 Develop Sponsored Project Proposal	Compile all required documents and ensure compliance with institutional and sponsor-specific policies	Collaboratives	PI	OSPA	PI
9	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Ensure a review of the final proposal prior to submission based on institutional policies and procedures	Collaboratives	PI	OSPA	PI
10	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Prepare eIAF, including tracking the routing of it and following up to facilitate its completion	Collaboratives	PI	OSPA	College/Department Business Officer/DA
11	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Coordinate/arrange for prior approvals of ADR and others as needed when internal deadlines are missed for proposal being submitted to OSPA and eIAF not being fully routed before proposal submission	Collaboratives	PI College/Department Business Officer/Administrator	OSPA	College/Department Business Officer/Administrator
12	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Serve as the primary liaison between PIs and OSPA, ensure timeliness of submission, and communicate deadlines	Collaboratives	PI	OSPA	PI OSPA
13	Pre-Award Administration	03 Current and Pending Support or Other Support	Aid in the collection, preparation, and dissemination of Current & Pending documentation for sponsors	Collaboratives	PI	OSPA College/Department Business Officer/Administrator	PI
14	Pre-Award Administration	04 Post-Submission Activities	Advise faculty member of requirements for JIT or other post-submission materials and assist in preparation of response	Collaboratives	PI	OSPA	PI
15	Pre-Award Administration	04 Post-Submission Activities	Ensure a review of the final JIT or post-submission material response prior to submission to OSPA based on institutional pre-award procedures	Collaboratives	PI	OSPA	PI
16	Pre-Award Administration	05 Review and Execute Formal Sponsored Project Awards and Agreements	Support OSPA and RFS with the award set up process through communication and providing updated documentation as needed (including awarded budget updates, setup in college-specific system, etc.)	Collaboratives	PI	College/Department Business Officer/Administrator	OSPA RFS
17	Award Set-Up	06 Establish Sponsored Projects	Review the established award in the financial system for accuracy and submit requests to OSPA and RFS, as needed	Collaboratives	PI	OSPA RFS	PI College/Department Business Officer/Administrator
18	Award Set-Up	06 Establish Sponsored Projects	Facilitate the communication of award terms and conditions, status of award review, and other relevant updates to PIs	Collaboratives	PI	OSPA RFS	PI College/Department Business Officer/Administrator
19	Award Set-Up	07 Establish Subawards	Request outgoing subaward agreement from OSPA and submit all required documentation for review	Collaboratives	PI	OSPA	PI
20	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	• Advise PIs and RFS of cost share commitments and potential risks • Monitor and track cost share commitments through the life of the award to ensure commitments are met	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
21	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Develop and submit payroll cost transfer requests and documentation through collaboration with BOs and PIs	Collaboratives	PI College/Department	RFS	College/Department Business Officer/Administrator
22	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Develop and submit non-payroll cost transfer requests and documentation through collaboration with BOs and PIs	Collaboratives	PI	RFS College/Department	College/Department Business Officer/Administrator
23	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Ensure cost transfers have been correctly processed and follow up with RFS as needed	Collaboratives	PI	RFS College/Department	College/Department Business Officer/Administrator
24	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Create and delete non-system generated encumbrances as needed to ensure accurate spend forecasting	Collaboratives	PI	College/Department	College/Department Business Officer/Administrator RFS

25	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Monitor active subcontracts to ensure programmatic progress and compliance	Collaboratives PI	PI	OSPA	College/Department Business Officer/Administrator
26	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Review subcontract invoices for accuracy and address questions regarding payment	Collaboratives PI	PI	OSPA RFS	College/Department Business Officer/Administrator
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28	Award Set-Up	10 Maintain Sponsored Projects	Coordinate and submit requests to OSPA and RFS for project changes, prior approvals, revisions etc.	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
29	Award Set-Up	10 Maintain Sponsored Projects	Serve as liaison between PIs, OSPA and RFS to ensure timeliness of submission for relevant post-award documentation	Collaboratives	PI	OSPA RFS	College/Department Business Officer/Administrator
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31	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare monthly forecast sheets that summarize a faculty member's financial position and track spending per account	Collaboratives	PI	College/Department Business Officer/Administrator	PI College/Department Business Officer/Administrator
32	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare and submit sponsor-required progress reports (RPPRs or other similar reports)	Collaboratives PI	PI	OSPA Collaboratives	OSPA College/Department Business Officer/Administrator
33	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Provide and/or elevate requests to develop other research administration reports as needed to suit faculty and unit needs	Collaboratives	Collaboratives	PI OSPA RIS	RIS Research Analytics SAP Support
34	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare/submit required equipment and small business subcontracting reports	Collaboratives	PI	OSPA	OSPA
35	Sponsored Project Closeout	12 Execute Closeout Activities	<ul style="list-style-type: none"> Review grant financials prior to the submission of sponsor-required reports Discuss potential for carryforward requests and/or deficits with the PI and coordinate the process with OSPA and RFS 	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
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37	Sponsored Project Closeout	12 Execute Closeout Activities	Prepare cash transmittals for all live checks and cash received directly and submit to Treasury Services for posting and OSPA for budget adjustments when needed	Collaboratives College/Department	PI	RFS	RFS OSPA
38	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	Communicate payroll confirmation policies to PIs/research staff, and partner with PIs to distribute/track the process	Collaboratives College/Department	PI	RFS	PI College/Department
40	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	Coordinate with faculty, College, and OSPA to collect and disseminate leave of absence/MOU information and manage any changes to active projects and pending awards	Collaboratives PI	PI	OSPA College/Department RFS	OSPA RFS