

**Sponsored Projects Services
Roles & Responsibilities Matrix**

The purpose of this matrix is to clearly identify who owns each task

PI	Principal Investigator
SPA	Sponsored Projects Analyst, Grants Analyst, or similarly functioning position at college/unit level
Dept	Departmental Administrators
College/Unit	College Dean/Unit Director
SPS RA	Sponsored Projects Services Research Administrator (university level)
SPS CGA	Sponsored Projects Services Contracts & Grants Administrator (university level)
FS	Financial Services
LA	Legal Affairs
Other	Other departments or units within the University outside of those identified above; (e.g., Research Integrity)

"O" when no Analyst is assigned to a unit, or when there's no similarly functioning position is available at college/unit level

	PI	SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
Identifying Funding Opportunity Announcements (FOAs)									
Search for FOAs	X	X			X				
Interpret FOA guidelines/requirements	X	X			X				
Identify internal funding resources	X	X	X	X	X				
Identify collaborators	X								
Proposal Preparation									
Write proposal narrative	X								
Develop proposal budget	X	X			O				
Develop proposal budget justification	X	X			O				
Identify cost sharing requirements (if applicable)	X	X			X				
Request, collect and review required subaward documentation	X	X			O				
Secure CU and external letter(s) of commitment/support (if applicable)	X	X			X				
Provide guidance supplemental proposal documents	X	X			X				
Collect and track required supplemental proposal documents	X	X			X				
Confirm proposal meets sponsor formatting/compliance requirements	X	X			X				
Review budget to confirm it is within sponsor guidelines	X	X			X				
Confirm budget justification matches budget & meets sponsor requirements	X	X			X				
Complete proposal routing form in Cayuse SP	X	X			O				
Submit completed proposal routing form and draft documents for approval (Cayuse SP), including COI disclosure	X	X			X				
Proposal Review and Approval by Chairs and Deans/Unit Directors									
Costshare - review commitments carefully, Approval in Cayuse record is proof of commitment by unit				X					
Faculty time commitments - course buyouts, summer salary and extra pay				X					
Review/approve routed proposal before SPS final review/submission				X					
Proposal Submission									
Upload final documents to funding platforms (Cayuse 424, Grants@heart, etc.)	X	X							
Proposals required to be submitted by authorized Institutional Official					X				
Obtain hardcopy/original signatures	X	X	O		X				
Proposals required to be mailed, emailed directly, or hand delivered	X	X	O						
Sponsored Project Transfers (incoming awards)									
Communicate with sponsor and/or previous institution regarding transfer	X				X				
Prepare sponsor required proposal documents for transfer to CU, including budget	X	X			X				
Submit required documents to sponsor to request transfer					X				
Accept award to CU for sponsored activity					X				
Regulatory Compliance Requirement									
Complete and submit compliance documents, if applicable (IRB, IACUC, etc.)	X								X
Ensure required compliance approvals are obtained	X								
Award Acceptance and Project Account Set Up									
Review terms and conditions	X				X				
Review and approve programmatic terms	X				X				
Negotiate terms with sponsor					X			X	
Accept sponsor notification of award (NOA, executed agreement)					X			X	
Obtain Chapman University authorized signature, if required					X			X	
Confirm compliance requirements are in place, if applicable (IRB, IACUC)	X				X				X
Ensure cost sharing is documented (if applicable)	X	X	X						
Internally process award and establish Project ID					X	X	X		
Notify PI of account set up and provide Project ID						X			

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Conducting and Managing the Project/Sponsored Activity									
Overall management of project/sponsored activity	X								
Track equipment inventory and list of supplies	X		X						
Initiate purchases for the project	X		X						
Initiate prior approvals for project changes when required (extensions, change in scope, etc.)	X	X	O						
Review and approve requested project changes					X				
Submit requested changes to sponsor (if required)					X				
Review financial status and/or reports and oversee expenditures	X	X	O						
Submit expense/P-Card report via Concur which must include receipts of purchases	X		X						
Review and approve expenditures received via CU and Concur workflow	X					X	X		
Maintain project budget tracking sheet for project forecasting and PI reconciliations	X	X	O			O			
Review and approve line item detailed expenses posted to project after CU month end financial close to confirm accuracy of charges, including personnel expenditures (reconciliation)	X	X	O			O			
Allocating Personnel to Sponsored Project									
Initiate ERCR to allocate appropriate personnel and salary percentages to project	X	X	X						
Review and approve ERCR request to allocate personnel/salary percentage to project			X	X		X			
Incentive and Summer/Extra Pay Requests									
Prepare the Incentive pay form and submit for payment with the extra pay form			X						
Review and approve the Incentive Pay request	X			X					X
Prepare the summer/extra pay form and submit for payment	X	X	O						
Review and approve the budgeted Summer/Extra Pay request	X			X		X			X
Invoicing and Financial Reporting									
Prepare and submit invoices and financial reports to sponsor						X	X		
Review and approve invoices and financial reports before submission to sponsor						X			
Prepare letter of credit draws for submission to sponsor							X		
Review and approve credit draws before submission to sponsor						X			
Monitor and collect outstanding payments from sponsor							X		
Outgoing Subaward Issuance									
Oversee project activity by subawardee(s) (non-financial)	X								
Prepare draft subaward documents	X	X			X				
Review subaward requests, negotiate and process subaward documents					X			X	
Confirm subaward compliance requirements are in place (if applicable)	X				X				
Subrecipient monitoring	X	X			O	O			
Review and approve subaward invoices	X	X	O			X	X		
Request for Payment of subaward invoices, if Non-PO can be used for the request		X	O						
** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP			X				X		
Outgoing Collaborator/Consultant Agreements (other than subawards)									
Oversee project activity by contracted collaborator(s) (non-financial)	X								
Prepare draft agreement documents	X	X	O		X				
Review agreement requests, negotiate and process agreement documents					X			X	
Confirm collaborator compliance requirements are in place (if applicable)	X	X			X				X
Collaborator monitoring	X	X	O		X				
Review and approve collaborator invoices	X	X				X	X		
Payment of collaborator invoices		X	O				X		
Project Progress Reports									
Prepare progress reports	X	X							
Submit progress reports to sponsor if submission by Institutional Official not required	X	X							
Review and submit progress reports that require submission by Institutional Official					X				



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Project Close Out									
Confirm all expenditures have posted to project account	X	X	O			X	X		
Prepare final invoice							X		
Review and approve final invoice						X			
Submit final invoice to sponsor							X		
Ensure all financial reports have been submitted to sponsor (if required)	X					X	X		
Ensure all project progress reports have been submitted to sponsor (if required)	X	X	O		X				
Submit invention, patent, etc. reports to sponsor (if required/applicable)	X				X				X
Confirm final payment has been received from sponsor							X		
Process internal close out of project account						X	X		
Maintain official project records, per sponsor and CU Record Retention Policy	X				X	X	X		
PI Transfer or departure									
Discuss the plan for transfer/departure and approve	X		X	X					
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer	X				X	X			
Plan the transition for assigned staff, students, and lab facilities	X		X						
Turn in and collect lab keys, computers, office equipmet, etc.	X		X						
Arrange for a change in PI to another investigator at Chapman for approved studies on human subjects and/or animals, and make all the necessary arrangements for the transfer or termination of compliance	X								X
Make all the necessary arrangement for IP matters	X								X
Ensure all sponsor requirements have been met for transfer or disposal of equipment	X				X	X			
Make all the necessary arrangement for the equipment transfer or disposal	X		X						X
Request all the changes for ERCRs, PeopleSoft, and request closeout of cash advances and P-Cards	X		X						X
Comply with the Chapman guidance on terminating personnel	X		X						

* For colleges or units without an SPA or similar position, SPS staff will provide assistance to the extent possible.

** Blanket POs

Blanket Purchase Orders: (Examples: contracted services, equipment leases and rentals, lab supplies, etc.)

- Purchase Orders are created with designated suppliers for specified dollar amounts (tax and estimated freight are included when applicable).
- Multiple shipments and deliveries are usually expected over a certain period of time.
- Invoices should be forwarded to Accounts Payable for payments.
- Departments must receive their Purchase Orders accordingly.

Note: Requestors/Departments must receive their respective Purchase Orders (in PeopleSoft).