

UCF Roles and Responsibilities for Research Administration	Principal Investigator	College*	Research Development	Contracts and Grants				Research Compliance	OTT/Venture Accelerator***	Research Foundation	General Counsel	Finance & Accounting
				Proposal Administration	Contract Negotiation	Post-Award Management	Subawards					
This Matrix seeks to identify commonly encountered pre- and post-award activities and provide guidance regarding the responsible parties for each. Please note that this Matrix is not meant to be exhaustive and is subject to change.												
<b>General Research Administration</b>												
Approves project PI eligibility		•										
Provide guidance and interpretation of federal regulations, agency specific requirements, and University policies and procedures			•	•	•	•						
Assist PI with the search for funding opportunities			•									
Assist PI in identifying potential project partners			•									
Provide editorial review of proposal drafts in adherence to RFP guidelines and requirements			•									
Coordination of Limited Submissions, Peer Reviews, and Internal Programs			•									
Assist PI with revisions to declined proposal in preparation of resubmission to the sponsor			•									
Provide training as needed		•	•	•	•	•				•		
<b>Proposal Preparation</b>												
Initiate intent to submit solicited or unsolicited proposal	•											
Develops budget & budget justification and other necessary documents per agency proposal guidelines	•	•										
Develops technical proposal	•		•									
Assist PI with proposal preparation including providing guidance for submission to central office for final review & submission		•	•									
Assist principal investigator with Commercialization Plan ***								•				
Assist principal investigator with Letters of Support from Industry Partners***								•				
Coordinate with appropriate compliance division for awareness of possible export control, COI, IRB, IACUC, EHS, etc.	•			•	•	•		•				
Development of small business subcontracting plan								•				
Submits small business subcontracting plan					•							
Ensure subcontract SOW, budget, and budget justification are received and they are approved	•											
<b>Approvals/Compliance</b>												
Initiate Cost Share Approvals through PTF system	•			•								
Ensure sponsor guidelines are followed for proposal formatting and submission requirements	•	•		•								
Approve and Certify final proposal documents in PTF System	•											
Obtain subcontractor institutional approval	•											
Verify availability of resources such as equipment/facilities	•	•										
Ensure conflict of interest managed/identified	•	•										
Ensure compliance with applicable laws, regulations, University rules, and sponsor guidelines				•								
Provide Institutional Authority on Proposal & Submit Proposals on behalf of UCF				•								
<b>Regulatory Compliance</b>												
Verifies submission and approval of protocol to appropriate oversight regulatory committees	•											
Act as a liaison between the PI and ORC		•										
Ensures review of protocols for any awards involving human subjects, animal care, export controls and trade sanctions, research misconduct, conflict of interest	•			•	•	•						
Ensures compliance with federal and university requirements regarding the responsible conduct of research, human subjects, animal care, export controls and trade sanctions, research misconduct, and conflict of interest	•	•		•	•	•						
Works in conjunction with UCF Office of Environmental Health and Safety with respect to research material use, storage, transportation, and disposition to assure compliance with federal requirements in biochemical, environmental, and radiation safety	•			•	•	•						
Works in conjunction with UCF Office of Technology Transfer to assure compliance with intellectual property requirements	•				•			•				
Discloses existence of research/staff conflict of interest and/or use of controlled technology or select agents for subject research effort	•											
Submits background materials and develops conflict of interest mitigating management plan(s), and/or technology control plans(s) or export controls licensing/application	•							•				
Reviews, approves, and submits to federal agencies, as required, conflict of interest management plans, technology control plans, and export control licensing applications to assure compliance with federal regulations					•			•				
Approval and maintenance of conflict of interest mgt and/or technology control plan (if required)								•				
<b>Contract Review &amp; Negotiation</b>												
Negotiate and accept awards on behalf of the University, including modifications to existing awards					•							
Provide feedback and assistance on nonstandard contract terms and conditions when applicable					•					•	•	
Review, negotiate and accept agreements (i.e. NDAs, PIAs, Teaming Agreements, etc.)					•			•				
Review, negotiate and accept Material Transfer Agreements								•				
Provide legal assistance as needed on negotiation of contract legal language pertaining to indemnification, governing law, warranties, etc.					•						•	
Approve agreements for form and legality as applicable											•	
Review and make recommendations on non-standard IP terms								•				
Review and make recommendations on Contract Management Plan, Export Control Language, Facilities & Securities as applicable								•				
Upload award/contract/agreement for legal review in legal contract system as required					•							
<b>Award Management/Monitoring</b>												
Coordinate with appropriate Compliance division for compliance (i.e. export control, COI, etc.) matters at award	•				•							
Set up award in ARGIS						•						
Assign project number in Peoplesoft										•		•
Verify and audit cost share in accordance with award terms and conditions						•						
Preparation and submission of small business subcontracting reporting								•				
Monitor and track cost share commitments	•	•				•						
Monitor and reconcile expenditures to ensure allowability, allocability and reasonableness	•	•				•				•		•
Review expenditure balance and award activity to verify financial compliance with University and sponsor regulations and to ensure allowability, allocability and reasonableness	•	•				•				•		•
Monitor and reconcile balances to ensure spending within budget and to prevent over-expenditures	•	•								•		•
Maintain backup documentation related to expenditures within terms and conditions of the award (record retention)	•	•				•						
Initiate request for budget revision and/or budget transfers	•											
Assist principal investigator with request for budget revisions and/or budget transfers		•			•	•						
Initiate request for no-cost extension to sponsor	•				•	•						
Process no-cost extensions in accordance with University and sponsor guidelines					•	•						
Prepare and submit travel and equipment requisitions on sponsored projects for approval		•										

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Review and approve travel requisitions submitted by College for sponsored related accounts						•					
Review and approve equipment purchase requisitions submitted by College for sponsored related accounts						•					
Document commitments for cost share	•					•					

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Monitor other agreements for pending close-outs												
Complete and submit technical reports (interim and final) as required	•											
Ensure appropriate assignment of decal for equipment							•					
Prepare and submit ePAFs and cost transfers for approval	•	•										
Review and approval of ePAFs/Cost Transfers						•						
Submit FFATA and small business reports							•					
Submit annual property report to sponsors as applicable							•					
Submit annual/periodic invention reports to sponsors as applicable						•		•				
Prepare and submit billing and drawdowns for all sponsored research awards									•		•	
Initiate collection activity on past due invoices						•			•	•	•	
Assist with collection efforts on past due invoices as needed	•	•				•			•	•	•	
Conduct PI phone calls, send Chair and Dean memos for delinquent deliverables						•						
Monitor and track government furnished property and equipment on loan							•					
<b>Subawards</b>												
Acquire LOI, budget, budget justification, and scope of work from sub	•	•		•								
Make determination of subaward vs. contractor/vendor status	•			•	•	•	•					
Perform Risk Assessment of subaward when UCF is prime before issuance of subaward agreement							•					
Prepare, negotiate and initiate subaward agreement							•					
Create requisition for subawards in Peoplesoft							•					
Approve requisitions for subawards in Peoplesoft							•					
Initiate purchase order request for approved subaward agreements							•					
Review and execute subaward agreement							•					
Monitor subaward performance, audit, etc. upon issuance of initial subaward and subaward modification	•						•					
Manage subaward performance	•											
Review and approve subaward invoices for payment	•					•					•	
Create Invoice Receipt in Peoplesoft						•			•			
Approve payment of RF subaward invoices						•			•		•	
Track and process subrecipient deliverables	•					•						
Develops and submit small business subcontracting reports							•					
Annual review of subrecipient audit reports and repository							•					
De-obligate PO and create 650 to move unexpended residual subcontract balance						•					•	
Receive and submit financial reports									•		•	
Receive and submit invention reports	•					•						
Receive and submit equipment inventory reports	•					•						
<b>Close-outs/Deobligations/Early Terminations</b>												
Initiate request for cost transfers in accordance with University and federal policy and procedures	•									•	•	
Process cost transfers in accordance with University and federal policy and procedures		•				•			•		•	
Process cost transfers "over 90 days" of time of discovery upon approval to remove unallowable costs and over expenditures						•						
Identify awards eligible for final closeout						•						
Monitor and close-out of other agreements						•						
Review, complete and upload closeout checklist	•					•						
Review and submit to sponsor Intellectual Property disclosures, final invention, assignments of rebates, etc.						•						
Ensure all expenditures and transfers have been posted to account within 90 days of end date	•	•							•		•	
Close and inactivate awards/projects in the University financial system									•		•	
Update the status for projects to closeout in ARGIS						•						
<b>Financial Reporting</b>												
Prepare and submit financial reports									•		•	
Identify the need to bill & create invoices									•		•	
Verify cost share to be reported to sponsors						•						
Report cost sharing to sponsors									•		•	
Monitor and pursue the collections of overdue payments from sponsors	•	•				•			•		•	
Allocate income to accounts at closeout process						•			•		•	
<b>Audit</b>												
Coordinate internal and external audits for the institution							•					
Respond to ad hoc audit requests (internal & external)	•	•					•		•		•	

\* College - represents Departmental Administrator, Chair or Dean or Center or Institute equivalent

\*\*Compliance - represents Compliance, IRB, IACUC, RCR/COI, Export Control, Facilities & Securities

\*\*\* Venture Accelerator