

The OSP Roles and Responsibilities Matrix outlines the key stages in the lifecycle of an award, spanning from proposal submission to closeout. It delineates the primary responsibilities of the principal investigator, business manager, OSP, and SPA at each stage. This matrix offers detailed descriptions of activities within the award lifecycle, ensuring clarity in the allocation of duties throughout the process. For inquiries about the matrix, feel free to reach out to aggrant@utk.edu.

Activity	Local Level		OSP (Office of Sponsored Programs)	SPA (Sponsored Projects Accounting)	Comments
	Principal Investigator (PI)	Business Manager			
PRE-AWARD (primary responsibility of OSP)					
Proposal preparation: TO START A PROPOSAL, VISIT https://utiasponsoredprograms.tennessee.edu/proposals/					
Finding Funding Opportunities	P		S		OSP distributes a weekly Funding Opportunity Digest. ORIED also has funding opportunity information available at: https://research.utk.edu/research-development/funding-opportunities/
Limited Submission Opportunities	P		S		https://research.utk.edu/research-development/funding-opportunities/limited-submissions/
Understand agency proposal guidelines, rules, and terms/conditions	P	S	P		All responsible
Research development, proposal writing, proposal editing	P				ORIED: https://research.utk.edu/research-development/proposal-support/ Hanover Research: https://taes.tennessee.edu/news/showWP.asp?which=810
Development of the proposal budget content	P	S	P		Budget needs are determined by the PI and Co-PIs
Prepare internal budget worksheet			P		
Prepare agency budget worksheet	S		P		
If Subrecipient(s) included in proposal: - coordinate subrecipient's programmatic role on the project (scope of work) and any budgetary allocations - coordinate subrecipient's proposal documents including budget, justification, and letters of commitment	P				
	S		P		
Submit compliance documents (IRB, IACUC, IBC, COI, etc.) as required by agency timing	P				
Development of the programmatic portion of proposal (proposal summary, proposal narrative, bibliography, key personnel documents, etc.)	P		S		
Develop non-budget proposal elements	P		S		
Prepare proposal elements for submission - format and upload	S		P		
Review proposal for institutional assurances; completeness	S		P		
Submit proposal to agency	S		P		With few exceptions, OSP should submit all proposals.
Cayuse/Internal approvals					
Create Cayuse proposal			P		
Answer conflict of interest, compliance, and location of sponsored activity questions	P				
Complete Cayuse content and attachments			P		
Submit for routing			P		PI does not submit for routing
Review all elements and attachments, Certify proposal	P				All PIs, Co-PIs, and other key personnel must certify
Review all elements and attachments, Approve proposal		P			Department approval may be by Dept Head or Business Manager, depending on departmental procedures
Award acceptance and negotiation					

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	Principal Investigator (PI)	Business Manager			
Accept/negotiate award terms and conditions	S		P		PI should forward any award notifications to aggrant@utk.edu
Obtain compliance approvals (IRB, IACUC, IBC, etc.) as required	P		S		
Obtain compliance approvals (RCR, COI, EC, etc.) as required	P		P		OSP will initiate with UT Compliance Office
Understand/disseminate award terms and conditions	S	S	P		
Finalize budgets for awards	S	S	P		
POST-AWARD / ACCOUNT MANAGEMENT (primary responsibility of BM and SPA)					
General post-award management					
Advanced Account setup	P	S		P	Requires department head approval
Account setup				P	
Budget entry				P	
Process payroll documents, check requests, POs, Pcards, travel reports to allocate charges	P	S			
Management of award and budget through research and monitoring	P	P		P	
Ledger Reconciliation	P	P			
Monitor unallowable expenses	P	P		S	SPA verifies that monthly/quarterly charges meet the budget justification and emails the business manager to request removal of unallowable expenditures.
Identify need for and request cost transfer	P	S		S	
Approve and process cost transfer		P		P	
Effort certification	P	S			
Vendor and A/P contracts	S	P			
Award actions/changes					
Identify need for and request No Cost Extension of Time (NCTE)	P	S			Via Award Action Form (AAF)
Review NCTE request, submit to sponsor (if required), and process NCTE			P	S	
Identify need for and request Change of PI	P	S			Via Award Action Form (AAF)
Review Change of PI request, submit to sponsor (if required), and process change			P	S	
Identify need for and request budget revision	P	S		S	Via Award Action Form (AAF)
Review budget revision request, submit to sponsor (if required)			P		
Process budget revision		S		P	
Subrecipient activities					
Initiate/develop/execute subaward and subaward amendments	S		P		
Receive, process subrecipient invoices	S	P			
Approve subrecipient invoices and identify problems	P	P			
Subrecipient monitoring	P	S			
Close-out subaward agreement	P	P	S		OSP may need to issue a de obligation/close out amendment
Financial management					
Receipt and deposit of checks	S	S		P	
Invoicing/draw downs				P	

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	Principal Investigator (PI)	Business Manager			
Cost share analysis				P	
F&A reduction calculations				P	
Bad debt processing				P	
Calculate and recover all valid indirect costs				P	
Reporting					
Prepare programmatic/scientific progress reports by Agency deadlines	P				
Review and submit financial statements/invoices/draw-downs requests to Agencies				P	
CLOSE OUT					
Final invoice and close out documentation	S	S		P	
Programmatic reports	P		S	P	OSP only when AOR signature required or when portal access is restricted
iEdison/Intellectual Property Reports	P		S	S	UTRF must approve prior to submission
Fixed asset/property reports	P		S	S	Must be coordinated with Controller's Office
NON-GRANT AGREEMENTS					
Confidentiality/Non-disclosure agreements	S		P		PI should contact aggrant@utk.edu with any requests or draft documents
Material Transfer agreements	S		P		
Data Use Agreements	S		P		
MISCELLANEOUS					
Work Plans	P			S	And REC Director
Faculty Incentive Plan requests	P	P		P	
Non-exchange checks	P	S	P		PI/BM should forward check and signed PI statement to aggrant@utk.edu for processing
Audit management	S	S	S	P	
Intellectual property questions or issues	P		S		UTRF holds primary responsibility
Joint Faculty Agreements	S	P	S		Department Head has significant responsibility
Animal Use and Care/IACUC	P				utiacuc@utk.edu
Human Research Protection Program/IRB	P				utkirb@utk.edu
Radiological Materials	P				mmsmith@utk.edu
Biological Materials	P				branger@utk.edu
Chemical Hazards and Other Health and Safety Issues	P				scrouch4@utk.edu
Visitors Engaged in Research	P				visitingresearcher@utk.edu
Export Control	P				utkexportcontrol@utk.edu
Responsible Conduct of Research	P				janeburns@utk.edu
Conflict of Interest	P				scanner2@utk.edu