

<div style="border: 1px solid black; padding: 5px; width: fit-content;"> <u>Responsibility Types</u> I = Initiate H = Help A = Approve AF = Final Approval or Final Authority O = Oversight C = Receives Relevant Communication </div>	Principal Investigator	Department Chair/Supervisor	Deans & Vice Presidents	NKURF Research, Grants, & Contracts	Relevant Risk Office*	Comptroller's Office	Assoc. Provost for Research/ Dean Graduate Studies	Assoc. Provost- Info. Tech.	University Counsel	Purchasing	Univ. Advancement	Asst. V.P. Comm./Gov. Rel.	Provost	COMMENTS
<i>Identify Potential Sponsors</i>	I			I			H					H		
<i>Proposal Preparation and Submission</i>														
Write Proposal	I			H										
PI Eligibility	I	A		AF										"Eligibility" refers to freedom from conflict of interest and conflict of commitment plus a fit with the program guidelines.
Space Requirements	I	A	AF											PI responsible for obtaining approval from Campus Planning
Budget Development														
Program Income (planned)	I			AF		H								
Cost Share Commitments														
University	I	A	A	A			AF							Approval lies where resources are controlled
Third Party	I	A	A	A			AF							
Indirect Costs (F&A)				I			AF							Deviation from appropriate rate and purpose
Direct Costs	I			AF										
Adherence to Fringe Benefit Rates				AF										
Justification of Allowability of Costs	I			AF		H								Allowability: does the funding agency allow certain costs (i.e., equipment, etc.)?
Justification of Allocability of Costs	I			AF		H								Allocability: can the PI document that the costs are allocated to the specific project?
Inclusion of Subcontracts in Proposal	I			AF										
Budget Justifications	I/AF			H										

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Special Requirements															
Conflict of Interest															TBD when policy is finalized.
Filing															
Resolving															
Conflict of Commitment															TBD when policy is finalized.
Filing															
Resolving															
Research Risk															
Animal Care	I				H	AF									IACUC
Human Subjects	I				H	AF									IRB
rDNA	I	O			H	AF									Biosafety Committee
Hazardous Materials	I	O				AF									
Radioactive Materials	I	O				AF									
Biohazards	I	O			H	AF									Biosafety Committee
University Certifications					AF										(501c3, drug-free workplace, etc)
Federal/State Regulations					AF										
All Technology/Computers/Networking/Phone Systems	I				H				AF						If a computer is purchased, prior approval is necessary to place computer on NKU replacement plan
Proposal Submission															

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Routing Form (with Abstract)	I	H/A	H/A	AF			C			C	C			
Submission/Transmission to the Agency				AF										
Proposal Revisions	I	A	A	AF										
Authorized Institutional Signature				A			AF							
<i>Between Submission and Award</i>														
Negotiation														
Project Scope and Technical Details	I/AF													
Budget	I			A			AF							
Award Review	I			AF				H						
Intellectual Property Ownership/Confidentiality Agreements	I			A			AF							
Award Terms and Conditions	I			AF										
Institutional Acceptance	I			AF										
<i>Contract Review</i>														
Writing/Negotiating Contract	I	A	A	A			AF							
Signing Contract				A			AF							
<i>Award Approval</i>														
Communicating Receipt of Award	H			I			C			C	C	C		
Establish Award														

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Review Award and Financial Reporting Requirements	H			I		H/AF								A mandatory meeting with the Post-Award Office, RGC, and PI will be required
Create Award Account in SAP				I		AF								
Set-up Budget in SAP						I/AF								
Cost Share Tracking														
Provide Source Accounts	I					AF								
Set-up Cost Share budget in SAP						I/AF								
<i>Award Management</i>														
Allocability and Allowability of Costs														
Recoding Charges	I/A					AF								Moving costs from one account number to another
Purchase Commitments/Orders/Procurement Cards	I	A				A				AF				
Payroll	I	A	A			AF								
Debarment and Suspension Screening of Vendors									I/AF					
Cost Transfers	I	A	A			AF								
Effort Reporting	I	A				AF								
Cost Share Tracking	H					I/AF								Ensure that the cost-share is spent at the same rate as the spending of the grant as required
Project Management	I/AF		O											
Technical Data Retention	I/AF													
Responses to FOIA Requests								AF						

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Project Deliverables	I/AF													
Financial Status Review - compliance costs allocated	H					I/AF								
Intellectual Property														
Disclosures	I			AF										
Reporting	I			AF										
Reporting Requirements														
Technical	I/AF			C		C								
Financial-Interim						I/AF								
Financial-Final						I/AF								
Equipment Reports	I					H/AF								
Invention and Patent	I			AF										
Purchasing	I					O			AF					
Close-out Documents	I					AF								
Income														
Billing, Accounts Receivable, Federal Draws						I/AF								
Collections	H					I/AF								
Refunds to Grantor	H					I/AF								
Collection of Program Income	I					AF								

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Subrecipient Agreements														
Memorandum of Agreement	I			AF		C			H					
Attaining Agency Approval	I			AF										
Monitoring Deliveries/Costs	I					AF								
Overdraft Account Resolution	I	O	O/AF	H		I								
Closing of Accounts						I/AF								
<i>Changes to Award</i>														
Budget Modifications to funding agency	I			A		H	AF							
Carry over requests	I			AF		C								
No Cost Time Extensions Requiring Agency Prior Approval	I			AF		O								
Project Reassignment/Suspension/Termination														
Due to Research Risk Compliance	C	O	O	H	I/O		A		A				AF	
Due to Fiscal Malfeasance	C	I/O	I/O	H		I/H	A		A				AF	
Agency Initiated	C			A		H	A		A				AF	
Project Mismanagement	C	I/O	I/O	A	O	H	A		A				AF	
Failure to Resolve Conflict of Interest/Commitment	C	O	O	H			A		A				AF	
Research Misconduct	C	C	I/O/A	C			C		C/H				AF	See University policy on Scientific/Research Misconduct
Project Director Transfers to Another Institution														

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Project Transfers	I	A	A	A	C	H	A						AF	
Equipment Transfers	I	A	A	A		O	A						AF	
Data rights and retention	I			A			A		A				AF	
<i>Audits and Misc. Issues</i>														
A133 Audit	H					I/AF								
Internal Audits	H					H/AF								NKU Auditor involved
Agency Audits	H					H/AF								Comptroller's office contributes to financial audits only
CAS (Cost-Accounting Standards) Disclosure Statement						I/AF								
F&A Rate Negotiations						I/AF								
NKU Research Policy Manual Changes				I			A		A				AF	
Research RISK Training and Education				I/A	I		AF							
Public Relations														
Crisis Control	I	I	I/C	I/C			I/A		A		I/A	I/A	AF	
Positive Public Relations							A				I/AF	I/A		

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