|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Research Administration Process** | **PI** | **Dept / Center** | **School** | **Office of Research** | **DC Res Adv**  *(large proposals)* | **University Advancement** | **DCG** | **CTO** *(industry clinical trials)* | **SPA** | **Purchasing** | **Accounts Payable** | **Financial Analysis** | **Compliance** | **General Counsel** | **USC Stevens** |
| **Identification of Funding Opportunities** | | | | | | | | | | | | | | | |
| Seek funding opportunities for individual proposals | P |  | S |  | S | S |  |  |  |  |  |  |  |  |  |
| Seek funding opportunities for interdisciplinary proposals | S |  | S | P | P |  |  |  |  |  |  |  |  |  |  |
| Distribute funding opportunity information |  |  | P | S | S | S |  |  |  |  |  |  |  |  |  |
| **Proposal Preparation** | | | | | | | | | | | | | | | |
| Provide expert guidance on funding opportunities |  |  | P |  |  |  | S |  |  |  |  |  |  |  |  |
| Review terms and conditions identified in funding opportunities/solicitations |  |  | S |  |  |  | P |  |  |  |  |  |  |  |  |
| Develop and revise technical or scholarly narrative | P |  |  |  | S |  |  |  |  |  |  |  |  |  |  |
| Proofread and edit technical or scholarly narrative | P |  | S |  | S |  |  |  |  |  |  |  |  |  |  |
| Coordinates USC internal review process for institutionally limited proposals |  |  | S | P |  |  |  |  |  |  |  |  |  |  |  |
| Identify subcontractors and collaborators | P |  |  |  | S |  |  |  |  |  |  |  |  |  |  |
| Request and secure budget, scope of work and relevant documents from subcontractors and  consultants | P | P | S |  | S |  |  |  |  |  |  |  |  |  |  |
| Secure letters of support of collaborators | P |  |  |  | S |  |  |  |  |  |  |  |  |  |  |
| Develop budget (CTO is primary for industry sponsored clinical trials) | a | P | S |  | S |  |  | P |  |  |  |  |  |  |  |
| Develop medicare coverage analysis (MCA) for budget(s) with patient care costs (all sponsor types) |  |  |  |  |  |  |  | P |  |  |  |  |  |  |  |
| If applicable, develop Small Business Subcontracting Plan(s) |  |  |  |  |  |  |  |  |  | P |  |  |  |  |  |
| Identify need for cost sharing funds | P | P | S |  | S |  |  |  |  |  |  |  |  |  |  |
| Identify and delineate acceptable cost-share burden between Schools | S |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Coordinate space arrangements |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve space requests |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Submit requests for F&A waivers or reductions | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve requests for F&A waivers or reductions |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Complete the KC Proposal | a | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Complete the conflict of interest disclosure questions on KC Proposal | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide guidance to PI on proposal preparation |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide guidance to department on proposal preparation |  |  | P | S |  |  | S |  |  |  |  |  | S |  | S |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Research Administration Process** | **PI** | **Dept / Center** | **School** | **Office of Research** | **DC Res Adv**  *(large proposals)* | **University Advancement** | **DCG** | **CTO** *(industry clinical trials)* | **SPA** | **Purchasing** | **Accounts Payable** | **Financial Analysis** | **Compliance** | **General Counsel** | **USC Stevens** |
| **Proposal Review and Approval** | | | | | | | | | | | | | | | |
| Review scientific, technical, and scholarly portions of proposal | P |  | S | S |  |  |  |  |  |  |  |  |  |  |  |
| Review proposal packet for completeness and accuracy before sending to DCG |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Sign Principal Investigator Certification on KC Proposal | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Verify that cost sharing quantified in proposal (e.g. budget, justification, SOW, etc) is identified in KC  Proposal |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Review proposed cost sharing for appropriateness |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve cost sharing |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide school review and approval of proposal |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide institutional review of proposal (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Make revisions and corrections to proposal after institutional review, but prior to submission |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide institutional approval of proposal (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Provide cover letter identifying exceptional terms/conditions identified in funding  opportunity/solicitation |  |  |  |  |  |  | P |  |  |  |  |  |  |  |  |
| Record proposal data in appropriate university systems for tracking and reporting  (CTO primary for industry sponsored trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| **Proposal Submission** | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| For paper submissions: Send proposal to sponsors after institutional approval | a | P | S |  | a |  |  |  |  |  |  |  |  |  |  |
| For electronic submissions: Submit proposal to sponsors after institutional approval  (CTO primary for industry sponsored clinical trials only) | a | S |  |  |  |  | P | P |  |  |  |  |  |  |  |
| For email submissions: Submit proposal to sponsors after institutional approval  (CTO primary for industry sponsored clinical trials only) | a | S |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Request preaward funding account | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve preaward funding request (CTO primary for industry sponsored clinical trials only) |  | a | P |  |  |  | a | a |  |  |  |  |  |  |  |
| Obtain firm commitment and/or approval from sponsor to spend funds in advance of the award  (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Confirm status of award, firm commitment and/or allowability of preaward funding with sponsor  (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Establish preaward funding authorization in University systems  (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Monitor preaward funding account (CTO for industry sponsored clinical trials only) |  | P | S |  |  |  |  | a | a |  |  |  |  |  |  |
| Prepare, finalize and approve Small Business Subcontracting Plan |  |  |  |  |  |  |  |  |  | P |  |  |  |  |  |
| Prepare Just In Time documents |  | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Review, approve and submit Just In Time documents to sponsor |  |  |  |  |  |  | P |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Research Administration Process** | **PI** | **Dept / Center** | **School** | **Office of Research** | **DC Res Adv**  *(large proposals)* | **University Advancement** | **DCG** | **CTO** *(industry clinical trials)* | **SPA** | **Purchasing** | **Accounts Payable** | **Financial Analysis** | **Compliance** | **General Counsel** | **USC Stevens** |
| **Award Acceptance** | | | | | | | | | | | | | | | |
| Review terms and conditions of award/agreement related to the technical and financial components  of the project | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Negotiate terms and conditions with sponsor (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Accept or reject exceptional terms and conditions |  |  |  | P |  |  |  |  |  |  |  |  |  |  |  |
| Confirm acceptance of exceptional terms and conditions (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Execute sponsored project and clinical trial agreements on behalf of the University  (DCG Executive Director primary for industry sponsored clinical trials) |  |  |  |  |  |  | P |  |  |  |  |  |  |  |  |
| **Award and Account Set-Up** | | | | | | | | | | | | | | | |
| Confirm that regulatory compliance approvals are in place  (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Process award in KC Post Award and identify account number(s) required by the terms and  conditions (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Request satellite accounts | a | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Process requests for satellite accounts and establish satellite account(s) in Kuali Financial System  (CTO primary for industry sponsored clinical trials only) |  |  |  |  |  |  |  | P | P |  |  |  |  |  |  |
| **Conducting the Project - Financial** | | | | | | | | | | | | | | | |
| Prepare financial transactions (i.e. cost transfers, payroll, requisitions, etc,) | a | P | a |  |  |  |  |  |  |  |  |  |  |  |  |
| Initiate purchases | P | S | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Execute high-value purchases (>$4,500) |  | a |  |  |  |  |  |  |  | P |  |  |  |  |  |
| Review and approve financial transactions | P | P | S |  |  |  |  |  |  | a | a |  |  |  |  |
| Provide well documented business purpose for each financial transaction | P | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Monitor and oversee financial expenditures | P | S | S |  |  |  |  | a | a |  |  |  |  |  |  |
| Provide adequate documentation for charges incurred within 30 days of end date reflecting the charges benefit the project and are properly allocated | P | S | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Conduct additional review of documentation for requisitions over $2,500 submitted less than 30 days before the project end date |  |  |  |  |  |  |  |  | P |  |  |  |  |  |  |
| Initiate re-budgeting requests | P | S | a |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve re-budgeting requests (if sponsor prior approval not required) |  |  | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Submit re-budgeting requests to sponsor for approval |  |  |  |  |  |  | P |  |  |  |  |  |  |  |  |
| Initiate no cost extensions | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Approve no cost extensions (or forward to sponsor for approval) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Certify that cost sharing is documented | S | a | P |  |  |  |  |  | a |  |  | a |  |  |  |
| Reconcile accounts on a monthly basis |  | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Review reconciled accounts | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Research Administration Process** | **PI** | **Dept / Center** | **School** | **Office of Research** | **DC Res Adv**  *(large proposals)* | **University Advancement** | **DCG** | **CTO** *(industry clinical trials)* | **SPA** | **Purchasing** | **Accounts Payable** | **Financial Analysis** | **Compliance** | **General Counsel** | **USC Stevens** |
| **Invoicing and Financial Reporting (CTO primary on below for industry sponsored clinical**  **trials only)** | | | | | | | | | | | | | | | |
| Prepare and submit the invoice or financial report |  | a |  |  |  |  |  | P | P |  |  |  |  |  |  |
| Receive and deposit payments from sponsors |  | a | a |  |  |  |  | P | P |  |  |  |  |  |  |
| Produce and record a letter of credit draw request (federal awards) |  |  |  |  |  |  |  |  | P |  |  |  |  |  |  |
| Monitor and pursue collections of overdue payments from sponsors |  | a | a |  |  |  | a | P | P |  |  |  |  |  |  |
| **Personnel and Effort Certification** | | | | | | | | | | | | | | | |
| Initiate hiring and appointment process | P | S | a |  |  |  |  |  |  |  |  |  |  |  |  |
| Maintain the effort certification database and reporting system |  |  |  |  |  |  |  |  |  |  |  | P |  |  |  |
| Complete necessary adjustments to award charges and/or payroll distribution |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare effort reports | S | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Ensure accuracy of completed effort certification reports and submit/certify via the e-cert system | P | S | a |  |  |  |  |  |  |  |  |  |  |  |  |
| Resolve problems or follow up on certifications not submitted |  |  | S |  |  |  |  |  |  |  |  | P |  |  |  |
| Review and audit personnel expenditures |  |  | S |  |  |  |  |  |  |  |  | P |  |  |  |
| **Data and Intellectual Property Management** | | | | | | | | | | | | | | | |
| Review and approve incoming Material Transfer Agreements |  |  |  |  |  |  |  |  |  |  |  |  |  |  | P |
| Complete invention disclosure form and submit to USC Stevens | P | a |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Ensure integrity of notebooks and data | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Prior Approvals (e.g., Rebudgeting, PI Absence or Change, Foreign Travel, etc.)** | | | | | | | | | | | | | | | |
| Initiate prior approvals for changes to project | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Review terms and conditions of award to determine if prior approvals needed |  | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide guidance on terms and conditions  (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Approve prior approvals delegated to USC |  |  |  |  |  |  | P |  |  |  |  |  |  |  |  |
| Forward prior approval requests to the sponsor, when sponsor approval is required  (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Obtain sponsor's decision regarding change(s) to the project and update University systems, as  necessary (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| **Subcontracts and Subawards** | | | | | | | | | | | | | | | |
| Initiate subcontract requisition in eMarket |  | P | S |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare, negotiate, and sign subcontracts/subawards and subsequent modifications |  |  |  |  |  |  | P | P |  |  |  |  |  |  |  |
| Oversee programmatic aspects of subcontract/subaward | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Review, approve subcontract invoices and send to Accounts Payable | P | S |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Pay subcontract invoices approved by PI/Department |  |  |  |  |  |  |  |  |  |  | P |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Research Administration Process** | **PI** | **Dept / Center** | **School** | **Office of Research** | **DC Res Adv**  *(large proposals)* | **University Advancement** | **DCG** | **CTO** *(industry clinical trials)* | **SPA** | **Purchasing** | **Accounts Payable** | **Financial Analysis** | **Compliance** | **General Counsel** | **USC Stevens** |
| **Project End and Closeout** | | | | | | | | | | | | | | | |
| Identify early close-out situations *(e.g. project completion, early termination, etc.)* | P | S |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Ensure all appropriate expenditures have been posted to accounts | S | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare final financial invoice/report (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  |  | P | P |  |  |  |  |  |  |
| Resolve issues related to unreconciled accounts | S | P |  |  |  |  |  |  |  |  |  |  |  |  |  |
| For fixed price accounts, submit unexpended balance request. | P |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| For fixed price accounts, approve unexpended balance request. |  | P | P |  |  |  | P |  |  |  |  |  |  |  |  |
| For fixed price accounts, process unexpended balance request  (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  |  | P | P |  |  |  |  |  |  |
| Submit and maintain final financial reports to sponsor  (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  |  | P | P |  |  |  |  |  |  |
| Submit final technical reports to sponsor and DCG | P | a |  |  |  |  |  |  |  |  |  |  |  |  |  |
| In the absence of the PI (e.g., transfer, long-term absence, etc.), prepare and submit technical  reports to sponsor and DCG |  | S | P |  |  |  |  |  |  |  |  |  |  |  |  |
| Maintain technical reports for sponsored projects | P |  |  |  |  |  | S |  |  |  |  |  |  |  |  |
| Submit and maintain final invention reports to sponsor |  |  |  |  |  |  | P |  |  |  |  |  |  |  | a |
| Inactivate award account(s) in financial accounting system  (CTO primary on industry sponsored clinical trials only) |  |  |  |  |  |  |  | P | P |  |  |  |  |  |  |
| **Audits** | | | | | | | | | | | | | | | |
| Coordinate external audits for the University |  |  |  |  |  |  |  |  |  |  |  | P |  |  |  |
| Coordinate Single Audit for the University |  |  |  |  |  |  |  |  | S |  |  | P |  |  |  |