

RESEARCH ADMINISTRATION RACI MATRIX

R = Responsible; A = Accountable; C = Consulted; I = Informed

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Responsible Parties
School
Principal Investigator (PI)
Department Administrator (DA)
Research Administration Services (RAS)
Dean / Associate Dean
Chief Business Officer (CBO)
Office of Research Administration (ORA)
Cost Studies (CS)
Emory Clinical Research Office (ECRO)
Office of Sponsored Programs (OSP)
Environmental Health & Safety Office (EHSO)
Institutional Animal Care & Use Committee (IACUC)
Institutional Review Board (IRB)
Research Compliance & Regulatory Affairs (RCRA)
Research Grants & Contracts (RGC)
Finance Division
Controller's Office

Roles & Responsibilities	School				Office of Research Administration					Finance Division
	PI	DA / Department	RAS	Dean / CBO	CS	ECRO	OSP	EHSO / IACUC / IRB / RCRA	RGC	CO
Funding Opportunities										
Identify funding opportunities	A / R		I	I			C			
Provide guidance on funding opportunities	A		R	C		C	C			
Submit Intent to Submit (ITS) form to RAS	A / R	I	I	C						
Institutional authority as to acceptability of sponsor requirements (excluding awards handled by ECRO)							A / R			
Institutional authority as to acceptability of sponsor requirements (awards handled by ECRO)						A / R				
Proposal Development										
Develop and provide all required proposal elements to RAS	A / R	C	I	C			C			
Complete non-scientific sections, as required (e.g., bio sketch, formatting, etc.)	A / R		C							
Identify subcontractor(s) and request budget and scope of work materials	A / R	I	C	C		C	C		C	
Develop budget and budget justification to accomplish the scope of work	A	I	R	C		C	C		C	
Identify and obtain approvals for cost share / matching funds	A / R	C	I	C		C	C		C	
Request F&A waiver or reduction, as appropriate	R	A	I	C			C			
Coordinate space arrangements	C	A		R						
Provide guidance on proposal preparation		I	A / R	C			C	C	C	
Regulatory Requirements										
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional Biosafety, Dept. of Environmental Health and Safety, Conflict of Interest, Disclosures, etc. (excluding awards handled by ECRO)	A / R	I	I	C			C	C		

Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional Biosafety, Dept. of Environmental Health and Safety, Conflict of Interest, Disclosures, etc. (awards handled by ECRO)	A / R	I	I	C		C		C	
Review and endorse compliance forms, as required	A / R	I	I	C		C	C	C	
Institutional oversight and facilitation of compliance issues (excluding awards handled by ECRO)							C	A / R	
Institutional oversight and facilitation of compliance issues (awards handled by ECRO)						C		A / R	
Document and maintain protocols and approvals for regulatory compliance, as required (excluding awards handled by ECRO)	R	C					I	A	I
Document and maintain protocols and approvals for regulatory compliance, as required (awards handled by ECRO)	R	C				I		A	I
Proposal Review and Approval									
Confirm proposal meets sponsor requirements (e.g., text, margins, font, page limits, etc.)	A / R			C			C		C
Programmatic review of proposal	A / R	I	I	C			I		
Verify that cost sharing in proposal is listed and that all commitments have been secured, as required	A / R	C	I	C			C		
Create EPEX record and route proposal for review and approval	I	I	A / R	I			I		
Review and approve proposal / EPEX record	R	R	A / R	R			I		
Provide institutional review and approval of proposal	I	I	I	C			A / R		
Proposal Submission									
Electronic Submission	I		I				A / R		
Paper Submission	I		I				A / R		
Retain documentation of proposal submissions once awarded (in OnBase)	I		I				A / R		
Provisional Account Number (PAN)									
Request Provisional Account Number (PAN)	A	C	R	C					
Review and approve Provisional Account Number (PAN) Request			C / I				A / R		
Establish PAN	I		I						A / R
Monitor PAN	A		R						R
Award Acceptance									
Accept sponsor notification of grant or contract award	C / I	C	C / I	I			A / R		
Review terms and conditions for grants, contracts, cooperative agreements, incoming material transfer agreements and other types of funding (excluding awards handled by ECRO)			C / I				A / R		
Review terms and conditions (awards handled by ECRO)			C / I			A / R			
Provide feedback on nonstandard terms and conditions, as required (excluding awards handled by ECRO)	I	C	I	C			A / R	C	C
Provide feedback on nonstandard terms and conditions, as required (awards handled by ECRO)	I	C	I	C		A / R		C	C
Negotiate contractual terms and conditions (excluding awards handled by ECRO)			I				A / R		
Negotiate contractual terms and conditions (awards handled by ECRO)			I			A / R			
Review and accept award terms and conditions, for new awards and associated modifications/amendments (excluding awards handled by ECRO)	C	C	I	C	C		A / R	C	C
Review and accept award terms and conditions, for clinical trials and associated modifications/amendments (awards handled by ECRO)	C	C	I	C	C	A / R		C	C
Award Set-up									
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial award set-up (excluding awards handled by ECRO)	C	C	I				A / R		
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial award set-up (awards handled by ECRO)	C	C	I			A / R		C	
Review award notification	A		R						R
Set up award and associated projects (including program income and cost share)			C / I						A / R
Process amendments, supplements, etc.			C / I						A / R
Create and disseminate eNOA	I		I						A / R
Identify, record, and track non-financial reporting requirements (e.g., RPPR, Invention Statement, Tangible Personal Property, etc.)			A / R						

Identify, record, and track financial reporting requirements			R						A / R
Award Administration -- EXCLUDING Industry Funded Clinical Trials									
Initiate financial transactions, as required	A	R	C / I	C					
Prepare initial budget reallocation			A / R						
Review and approve financial transactions, as required	A / R	R	R	R					R
Provide timely and accurate financial management reports to PI/project team on a routine basis (at least quarterly)	I	I	A / R						
Use financial reports to monitor and oversee expenditures	A / R	I	R	C / I					R
Monitor and maintain speedtype updates for recurring direct charges, such as core invoices and animal caging / per diems	A / R	C	I						
Prepare cost transfers (salary and non-salary), as required	C	C	A / R	C					C
Initiate requests for rebudgeting, no-cost extension, carryforward, etc.	A		R				C		C
Obtain sponsor approval of requests for rebudgeting and no-cost extension, as required	I		C / I				A / R		C / I
Obtain sponsor approval of requests for carryover	I		C / I				C / I		A / R
Ensure responsible conduct of research by project staff/students	A / R	I							
Ensure scientific and progress/technical deliverables are met	A / R	I	I				I		I
Award Administration -- Industry Funded Clinical Trials									
Use financial reports to monitor and oversee expenditures	A / R	I	R	C / I					C / I
Prepare, submit, and retain documentation for financial deliverable to sponsor, as required for department managed awards (excluding awards handled by ECRO)	A	C	R						
Prepare, submit, and retain documentation for financial deliverable to sponsor, as required (awards handled by PEDS RAS)	A		R [PEDS]						
Prepare, submit, and retain documentation (in OnBase) for financial deliverable to sponsor, as required for cost-reimbursable awards (including the cost-reimbursable portions of hybrid awards)			I						A / R
Prepare, submit, and retain documentation for financial deliverable to sponsor, as required (awards handled by ECRO)			I				A / R		
Provide timely and accurate financial management reports to PI/project team on a routine basis (awards handled by ECRO)	I	I	I				A / R		
Obtain sponsor approval of requests (i.e., rebudgeting, changes in effort, PI, scope, no-cost extension, etc.), as required (awards handled by ECRO)	I	I	I				A / R		
Submit Case Reports to Sponsor's Portal	A	R							
Initiate financial transactions, as required	A	R	C / I	C					
Create invoices in OnCore (awards handled by ECRO)			I				A / R		
Prepare and submit interim/final financial deliverable to sponsor (awards handled by ECRO)			I				A / R		
Retain documentation of the financial deliverable submission (awards handled by ECRO)			I				A / R		
Monitor and pursue the collection of overdue payment from sponsors (awards handled by ECRO)	I	I	I	I			A / R		
Subawards / Subcontracts									
Request establishment/modification of subaward/subcontract	A / R		C / I				C		
Submit subaward/subcontract request/modification to OSP	I		A / R				I		
Prepare, negotiate, and execute subaward/subcontract (excluding subs handled by ECRO)			I				A / R		
Prepare, negotiate, and execute subaward/subcontract (subs handled by ECRO)		I	C				A / R		
Retain documentation of executed subaward/subcontract (excluding subs handled by ECRO)							A / R		
Retain documentation of executed subaward/subcontract (subs handled by ECRO)							A / R		
Oversee financial monitoring of subaward/subcontract	A		R						
Review and approve subaward/subcontract invoice(s)	A		R						
Oversee scientific and progress/technical aspects of the subaward/subcontract	A / R	I	I				C / I		
Retain documentation of executed subaward/subcontract in OnBase (excluding subs handled by ECRO)			I				A / R		
Retain documentation of executed subaward/subcontract in OnBase (subs handled by ECRO)			I				A / R		
Effort Reporting									
Allocate and maintain effort distribution	A	R	R						

Monitor effort commitments	A / R	C	C						
Communicate effort form reassignments (pre-reviewer)			R	A	I				
Communicate effort form reassignments (certifier)		R	I	A	I				
Reassign effort form, as required		I	I		A / R				
Pre-review effort form		C / I	R	A	I				
Certify effort form	R	R	C / I	A					
Resolve issues or follow up on pending certifications		R	C	A / R					
Cost Sharing									
Monitor and review cost share is met, as required	A	R	R	C					R
Retain documentation of cost sharing commitments (department level)		A / R	I	C					
Retain documentation of institutional commitments / letter of support (school level)		C	I	A / R					
Program Income									
Identify and receive program income		A / R							
Apply/deposit program income									A / R
Identify use and reportability of program income	R	A	C						I
Provide institutional oversight to record and report program income	R	A	C						I
Prepare and submit the report of program income to sponsor		C	I						A / R
Financial Reporting									
Prepare and Submit interim/final reconciliation / Award Review Tool (ART)			A / R						C / I
Confirm amount of interim/final total expenditures	A		R						I
Confirm fixed price milestone completion, as required	A / R	R	C / I						I
Prepare and submit department managed interim/final financial deliverable (e.g., invoice, report) to sponsor	C		R						A
Prepare and submit interim/final financial deliverable (e.g., invoice, report) to sponsor	C		I						A / R
Retain documentation of the department managed financial deliverable submission			R						A
Retain documentation (in OnBase) of the interim/final financial deliverable submission			I						A / R
Accounts Receivable Management									
Prepare and process letter of credit draw request (federal awards)									A / R R
Receive and deposit letter of credit draw payment (federal awards)									A / R R
Receive and deposit payment from sponsor (excluding payment from LOC draws)									A / R
Monitor and pursue the collection of overdue payment from sponsors									A / R
Maintain cash On Account (OA)			I						I A / R
Prior Approvals									
Initiate requests for changes to project (e.g., rebudgeting, no-cost extension, carryforward, etc.)	A		R			C / I			C / I
Obtain sponsor approval of requests (e.g., changes in effort, PI, scope, no-cost extension, etc., as required)	I		C / I			A / R			C / I
Obtain sponsor approval of requests (e.g., rebudgeting, carryover, etc., as required)	I		C / I			C / I			A / R
Ensure regulatory compliance offices are notified of changes to project and approval obtained, as required	A / R	R	I			I		I	
Progress / Technical Reports									
Ensure integrity of all research data	A / R								
Prepare and submit progress/technical report to sponsor (by PI or RAS), as required	A / R	C	C / I						
Review and route progress/technical report to OSP, as required	I		A / R			C / I			
Review and route progress/technical report to sponsor (by OSP), as required	I		I			A / R			
Retain documentation of the progress/technical report submission (by PI)	A / R		I						
Retain documentation of federal progress/technical report submission (in OnBase)			I			A / R			
Award Closeout									
Identify early closeout situations	A / R		C / I						

Ensure all appropriate expenditures have posted	A		R							
Prepare and submit final reconciliation / Award Review Tool (ART)			A / R						C / I	
Prepare and submit final financial deliverable to sponsor	I		I						A / R	
Resolve issues (e.g., deficit, over the limit, etc.) related to unreconciled accounts	A	C	R	C					I	
Monitor submission of technical report, invention statement, patent report, etc.	A						R			
Inactivate award in financial accounting system									A / R	
Retain documentation of award closeout (in OnBase)			I						A / R	
Audits										
Provide support and/or source documentation, as required	R		R	R	R		R		A / R	
Coordinate audits (excluding the single audit), desk reviews, site visits, and other inquires (e.g. audit confirmations, subrecipient questionnaires, etc.)	C		C	C	C / I		C	C	A / R	
Coordinate Uniform Guidance/single audit					A / R		C		C	
Submit documentation to sponsor/auditor, as required	I		I	I	I	I	I	I	A / R	
Ongoing Training / Development										
Maintain knowledge of uniform guidance, sponsor guidelines and regulations, and institutional policies	R		R	R	R	R	R	R	R	