UK Research

Update on
Project GATeWAY for
Business Officers and
Department
Administrators

1/17/24

Agenda

1 | Background and Overview

2 | Central Office Reorganization

3 | Soft-Launch Plan

4 | CGS Training
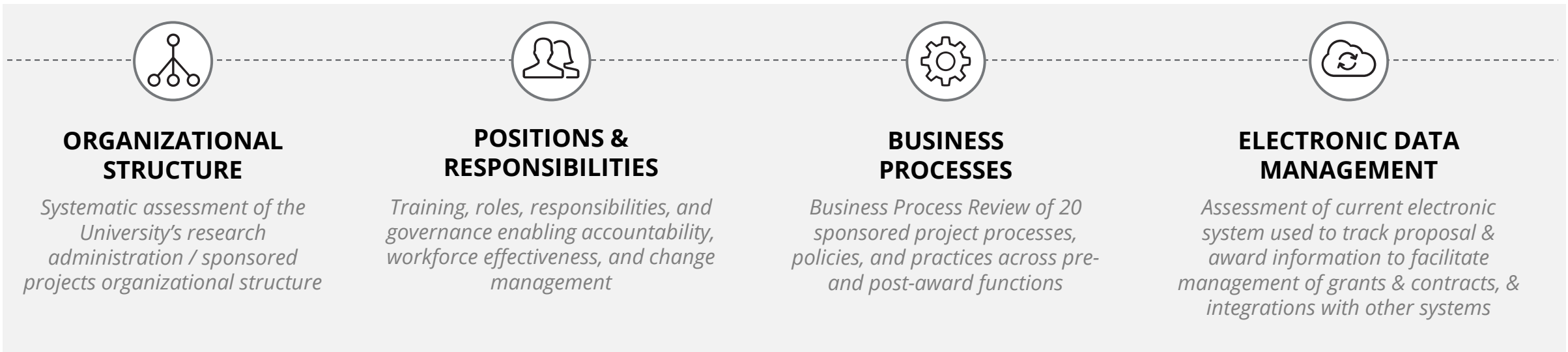
5 | BO/DA Responsibilities Shift

Background and Overview

Background and Overview | Scope and Background

Given recent growth in sponsored research over the last decade, UK asked Deloitte to conduct a comprehensive assessment of its research administration functions to improve operations and service to Investigators.

Deloitte's assessment included the following in-scope areas for research administration operations and functions at UK:

ORGANIZATIONAL STRUCTURE

Systematic assessment of the University's research administration / sponsored projects organizational structure

POSITIONS & RESPONSIBILITIES

Training, roles, responsibilities, and governance enabling accountability, workforce effectiveness, and change management

BUSINESS PROCESSES

Business Process Review of 20 sponsored project processes, policies, and practices across pre- and post-award functions

ELECTRONIC DATA MANAGEMENT

Assessment of current electronic system used to track proposal & award information to facilitate management of grants & contracts, & integrations with other systems

The goal of this assessment was to provide recommendations that enable to UK to:

1 Drive efficiencies and return on investment

2 Improve administrative operations

3 Improve overall service delivery

4 Foster trust and relationships with Investigators

Deloitte.

Background and Overview | Project GATeWAY Timeline

Following an eight-month assessment, Project GATeWAY began the implementation which includes specific phases including Design, Build and Test, Implement, and Optimize. The Project is currently in the Implement Phase.

P R O J E C T   G A T E W A Y   T I M E L I N E

Phase 1: Assessment   **Phase 2: Implementation**

| Assessment | Planning | Design | Build & Test | Implement | Optimize |

| Nov. '21 | Dec. '21 | Jan. '22 | Feb. '22 | Mar. '22 | Apr. '22 | May '22 | Jun. '22 | July '22 – Jan. '23 | Feb. '23 | Mar. '23 | Apr. '23 | May '23 | Jun. '23 | Jul. '23 | Aug. '23 | Sept. '23 | Oct. '23 | Nov. '23 | Dec. '23 | Jan. '24 | Feb. '24 | Mar. '24 | Apr. '24 | May '24 | Jun. '24 |
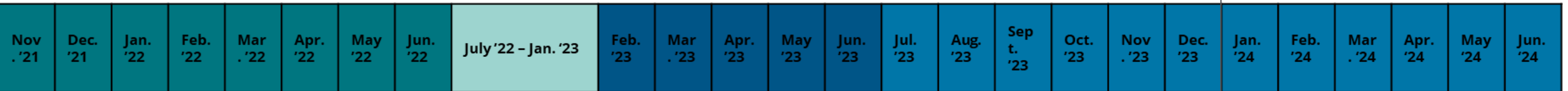
WE ARE HERE

Deloitte's assessment of research administration operations at UK included detailed quantitative and qualitative analyses to understand UK's current state and identify opportunities for future growth and efficiency.

UK determined priorities to implement in the next phase of the project.

Deloitte and UK worked to determine the current state of operations, processes, and organizational structure, as well as needs for an efficient future state. Based on findings, a directional model was designed.

In the upcoming months, the conceptual model and future state processes will be operationalized and implemented. Policies and procedures and CGS governance will be established. CGS staff will engage in training to prepare for a successful transition to the future organization.

Deloitte.

Background and Overview | Project GATeWAY Vision and Guiding Principles

UK Research

Vision
Handle the business of research so PIs can focus on the research

People

Create and **foster balance and career progression** for all grants administration staff

Teamwork built on **respect**, **civility** and **integrity** for all members of UK

Enhance the highest levels of **holistic wellness** by **taking care of our people**

Process

Provide equal or improved services that have **flexibility and customization** for the uniqueness of a given unit

Streamline and **standardize** processes to provide a **consistent level of service** while **staying compliant**

Ensure that **staff know how and why** they do things critical to the support of Investigators
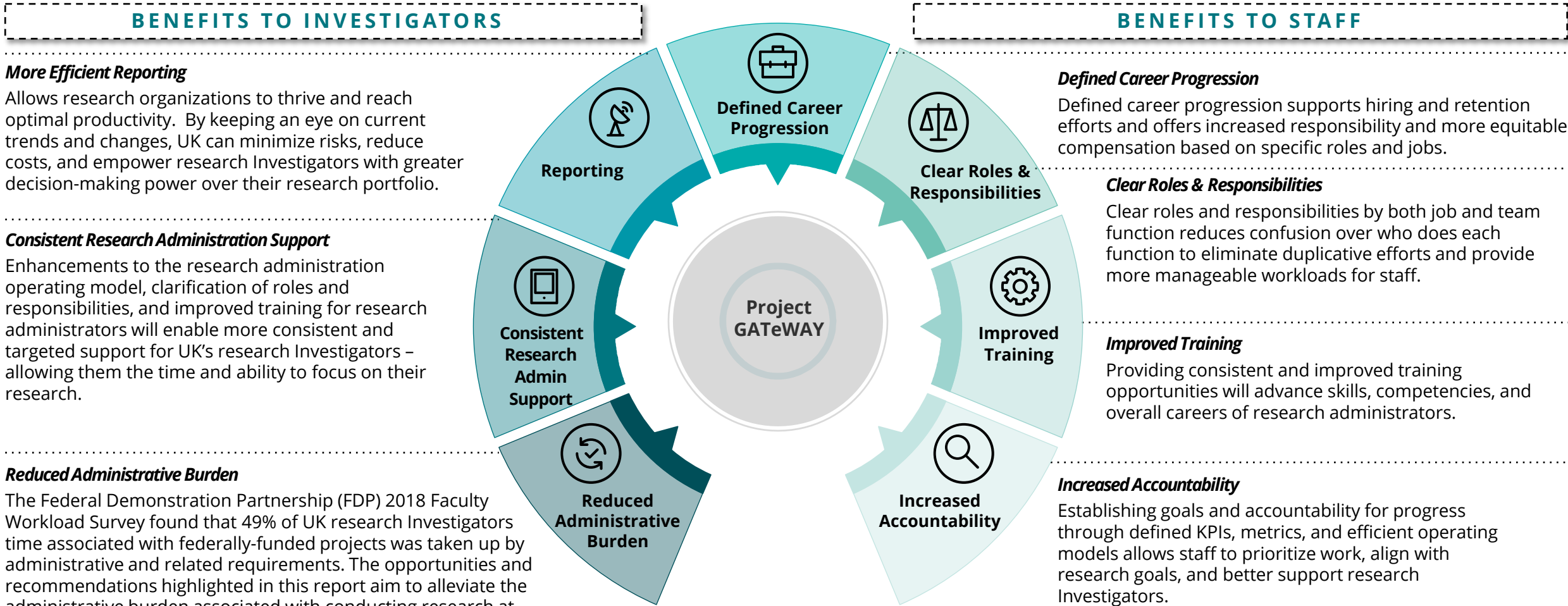
Technology

Maximize use of existing and new technologies to **establish single source of truth** that instills **confidence in the data**

Establish systems that are sustainable through growth while **investing in user-friendly technologies**

Leverage technologies that **increase administrative efficiencies** and **reporting capabilities**

Deloitte.

Background and Overview | Benefits

Investing in the priority areas for UK's research administration detailed in this deliverable will enable the institution to advance and evolve in a fashion that appropriately supports its scientific teams today and in the future.

BENEFITS TO INVESTIGATORS

More Efficient Reporting

Allows research organizations to thrive and reach optimal productivity. By keeping an eye on current trends and changes, UK can minimize risks, reduce costs, and empower research Investigators with greater decision-making power over their research portfolio.

Consistent Research Administration Support

Enhancements to the research administration operating model, clarification of roles and responsibilities, and improved training for research administrators will enable more consistent and targeted support for UK's research Investigators – allowing them the time and ability to focus on their research.

Reduced Administrative Burden

The Federal Demonstration Partnership (FDP) 2018 Faculty Workload Survey found that 49% of UK research Investigators time associated with federally-funded projects was taken up by administrative and related requirements. The opportunities and recommendations highlighted in this report aim to alleviate the administrative burden associated with conducting research at UK.

BENEFITS TO STAFF

Defined Career Progression

Defined career progression supports hiring and retention efforts and offers increased responsibility and more equitable compensation based on specific roles and jobs.

Clear Roles & Responsibilities

Clear roles and responsibilities by both job and team function reduces confusion over who does each function to eliminate duplicative efforts and provide more manageable workloads for staff.

Improved Training

Providing consistent and improved training opportunities will advance skills, competencies, and overall careers of research administrators.

Increased Accountability

Establishing goals and accountability for progress through defined KPIs, metrics, and efficient operating models allows staff to prioritize work, align with research goals, and better support research Investigators.

7

Background and Overview | Project GATeWAY Service Catalog and RACI

The Service Catalog includes a RACI Matrix that provides detailed levels of roles and responsibilities across research vested parties.

Responsible	**A**ccountable	**C**onsulted	**I**nformed
Who is responsible for doing the actual for the task.	*Who is accountable for the success of the task and is the decision-maker.*	*Who needs to be consulted for details and additional info on requirements (e.g., subject matter expert).*	*Who needs to be kept informed of major updates.*

Example(s)

Task	Responsible	Accountable	Consulted	Informed
Assist in the pre-proposal or LOI process for sponsors that require pre-application submission prior to full proposal	Collaboratives	PI	OSPA	College Staff
Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information	Collaboratives	PI	OSPA College Staff	College Staff
Compile all required documents and ensure compliance with institutional and sponsor-specific policies	Collaboratives	PI	OSPA	College Staff

High-level CGS Services can be found in the Appendix below

Central Office Reorganization

Central Office Reorganization | Synergy Between Central Units

While creating Collaboratives Grant Services, the team also worked closely with OSPA and RFS to ensure alignment and consistency of grant administration and service levels across all three units.

Vice President for Research (VPR)	Treasurer

Office of Sponsored Projects Administration (OSPA)	Collaboratives Grants Services (CGS)	Research Financial Services (RFS)* *RFS reports up through the Treasurer.*
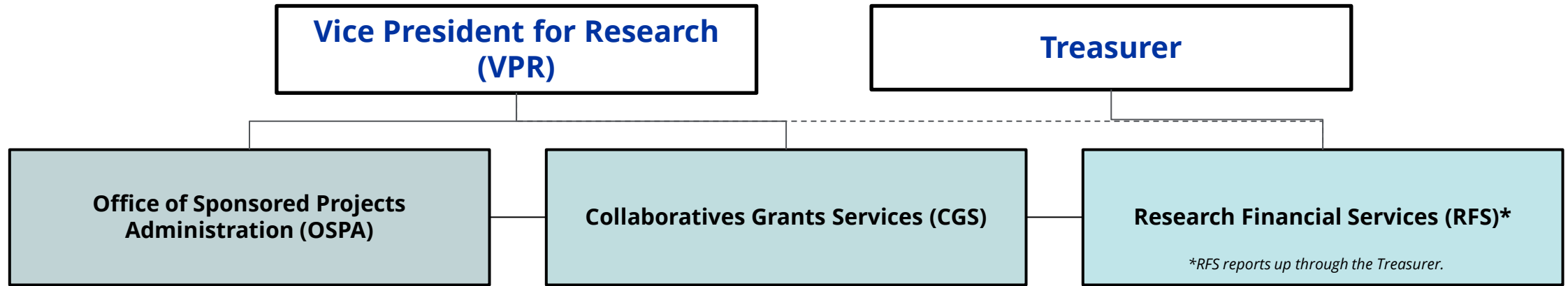
Formalized Structure For Collaboration

Each leader of the three central units are key players in shared governance meetings that occur monthly such as the Shared Services Strategy meeting, Shared Services and Functional Leadership meeting, and Hub Coordination Meetings.	Leadership in all three units participate in formalized leadership team development consultation to increase opportunities to work collaboratively and increase efficiency in the workplace.	Leadership in the three central units meet regularly together with executive sponsors (VPR and Treasurer) to review challenges and opportunities to improve the research enterprise at UK.

Deloitte.

Central Office Reorganization | RFS, CGS, OSPA Reorganizations

Deloitte's assessment last year highlighted realignment of roles and responsibilities within the central research administration offices – OSPA and RFS – as one of the most critical opportunities for Project GATeWAY.
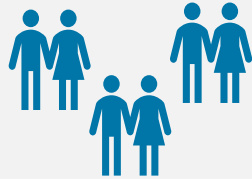
RFS

RFS implemented Deloitte's recommended organizational structure – specifically, **an award closeout team and a financial compliance function**

RFS also implemented a **new compensation structure** within the office, bringing the total compensation of staff on par with that of other research administration functions on campus.

CGS

The CGS organization was created in the Summer of 2023 with the **support and input** from: project sponsors, the steering committee, collaboratives working group, working group champions, and input from various other vested parties.

The inception of the CGS organization was driven by the collaborative vision of the future operational model, with the purpose of aligning seamlessly with RFS and OSPA.

OSPA

Following the assessment, OSPA took Deloitte's recommendations and **created a new organizational structure focused on specialized teams and career progression.**

The OSPA reorganization aimed to **align responsibilities with the activities being completed by adjacent offices** and functions in the target future state operating model, specifically focused on the work happening in CGS.

Progress

RFS	CGS	OSPA
100%	100%	85%

Deloitte.

Soft-Launch Plan

CGS Soft-Launch Plan | Staffing for Go-Live

DEFINING SOFT-LAUNCH AND GO-LIVE

SOFT LAUNCH

- Pre- and post-award staff will begin to learn new processes, test SOPs and training, and build cohesion as a unit.
- Post-award will begin new processes late-January. Pre-Award will continue to phase in changes as new proposals are initiated.

GO-LIVE

- Pre-award staff will begin new processes and services **beginning January 29th for all new proposals**. All in-flight proposals will be conducted utilizing current state processes and tools.
- Post-award staff will begin new enhanced processes and services beginning late-January. The post-award staff will **reconcile using February financials.**

Vacancies:

The Project GATeWAY team including HR and the CGS Leadership team continues to assess applicants and conduct interviews to fill vacancies in leadership and staff positions. If there is a vacancy in phase 2 or 3 units, CGS is conducting the search prior to go-live for each phase.
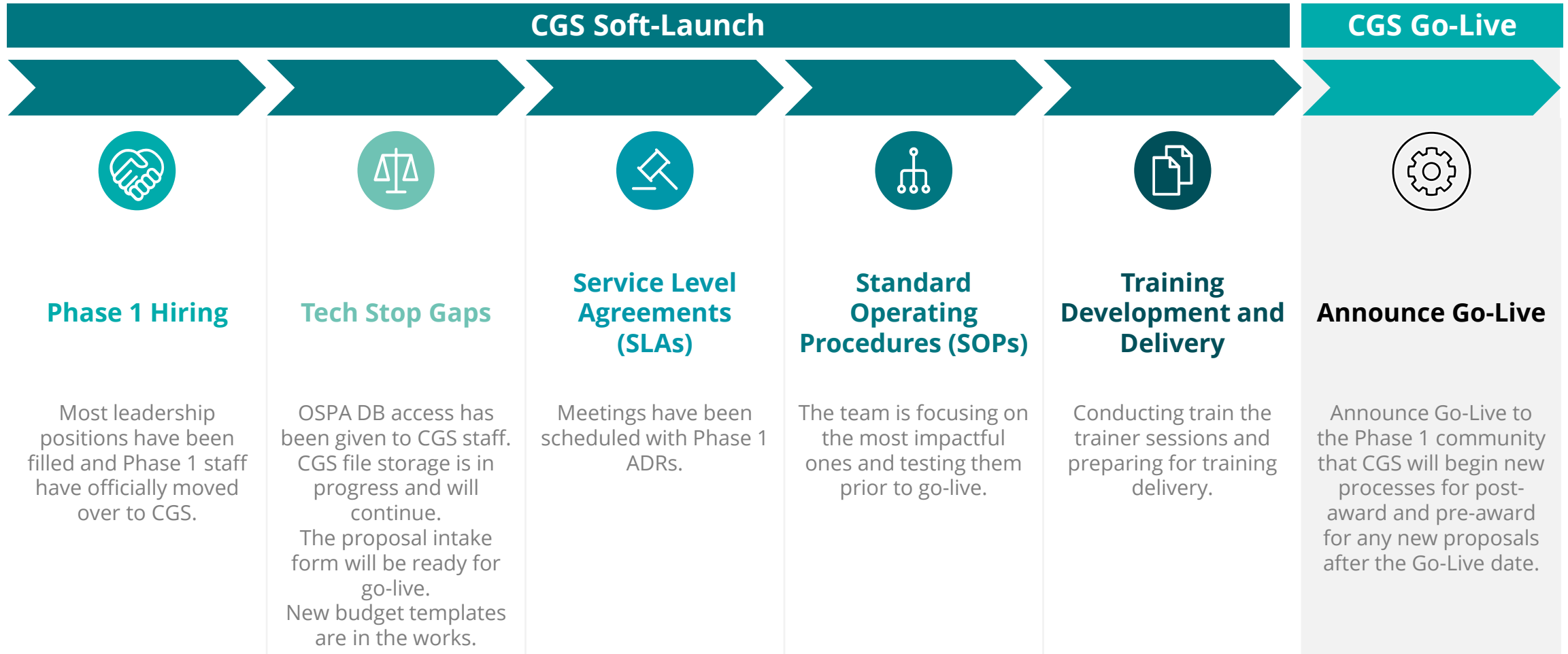
Portfolio Assignments:

CGS Leadership is actively working on CGS staff portfolio assignments as they transition into the new office. We do not expect any major shifts in the portfolio assignments for staff and that the majority of PIs will be working with the same staff.

Transitioning Employees

The Project GATeWAY team is moving up the timeline to transition employees to new positions in the HR system by the end of this month. The team will be communicating with college leadership on plans and the specific timeline.

Soft-Launch Plan | Proposed Launch

For a soft-launch of Collaborative Grants Services, the following priorities have been identified and are in the works by CGS and project team staff.

CGS Soft-Launch					CGS Go-Live
Phase 1 Hiring	**Tech Stop Gaps**	**Service Level Agreements (SLAs)**	**Standard Operating Procedures (SOPs)**	**Training Development and Delivery**	**Announce Go-Live**
Most leadership positions have been filled and Phase 1 staff have officially moved over to CGS.	OSPA DB access has been given to CGS staff. CGS file storage is in progress and will continue. The proposal intake form will be ready for go-live. New budget templates are in the works.	Meetings have been scheduled with Phase 1 ADRs.	The team is focusing on the most impactful ones and testing them prior to go-live.	Conducting train the trainer sessions and preparing for training delivery.	Announce Go-Live to the Phase 1 community that CGS will begin new processes for post-award and pre-award for any new proposals after the Go-Live date.

CGS Training

CGS Training | Pre-work Overview

Project GATeWAY is leading the transformation of UK Research Administration and providing specific stakeholder trainings on the transition.

Collaborative Grant Services Training

WHAT

Vested parties that participate in the Project GATeWAY training are asked to do the following two tasks prior to attending:

1. Complete the pre-reading materials

2. Come to the training session with questions
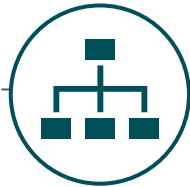
PRE-READ

Background
- Current State Challenges
- Investigator Survey Feedback
- Project GATeWAY Priorities
- Benefits to Investigators
- Benefits to Research Administration Staff

CGS Structure
- Why Shared Services
- CGS Hub Structure*
- CGS Org Chart*

CGS Operational Guidance
- Operations Manual*
- Service Offerings
- Standard Operating Procedures (SOPs)
- Service Level Agreements (SLAs)

DELIVERY

Training delivery will be split into 5 different stakeholder groups:

1. CGS Pre-Award Training
2. CGS Post-Award Training
3. PI Training
4. Local Unit Training
5. OSPA/RFS Training

Vested parties that participated are asked to complete the post-training evaluation (5-10 minutes).

CGS Training | Delivery Schedule

Below is the proposed approach for communicating and delivering training and train the trainer for phase 1.

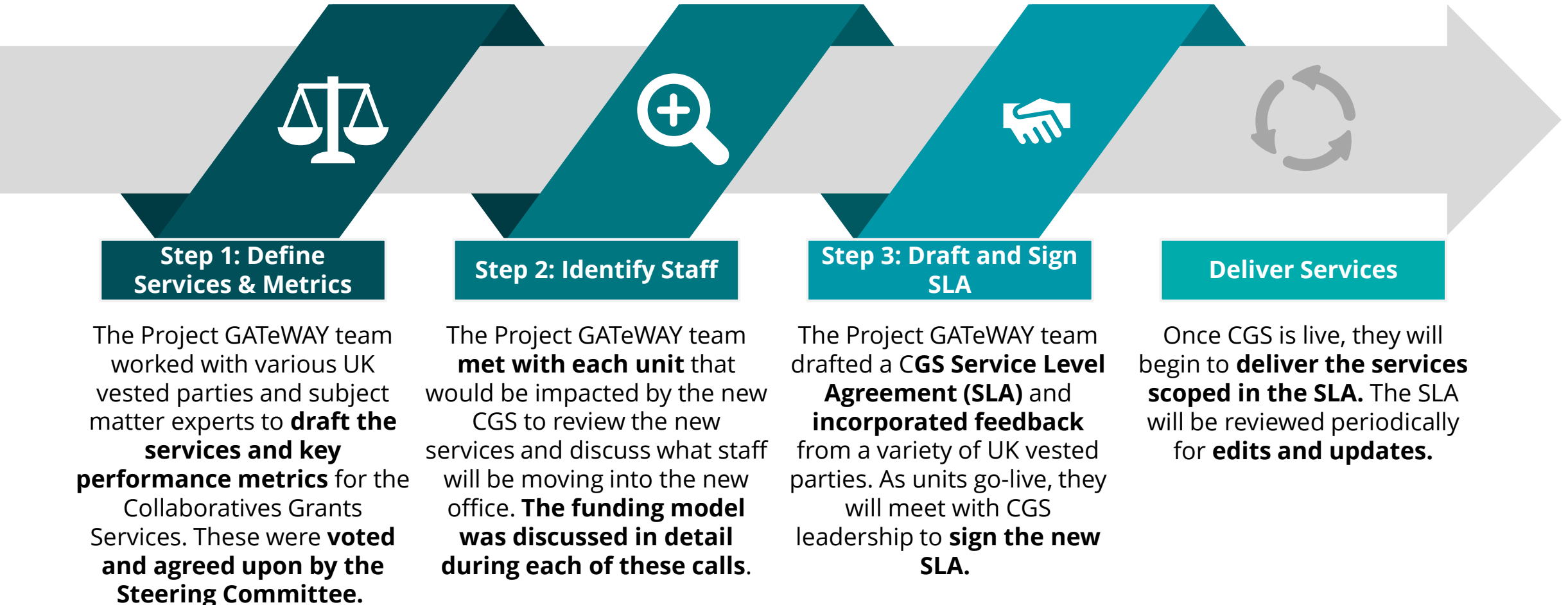| Vested parties	Delivery	Delivery POC	Delivery Target Date
CGS Pre-Award Staff	• **2-hour session** with sign ups • Two offered for Phase 1 go live, one offered for Phase 2 & 3 • Record and post	Managers	1. Monday, January 22nd. 9:00 – 11:00 AM ET 2. Thursday, January 25th. 1:30 – 3:30 PM ET
CGS Post-Award Staff	• **2-hour session** with sign ups • Two offered for Phase 1 go live, one offered for Phase 2 & 3 • Record and post	Managers	1. Tuesday, January 23rd. 9:00 – 11:00 AM ET 2. Thursday, January 25th. 1:30 – 3:30 PM ET
OSPA & RFS	• **90-minute session** • One offered during the first go live • Record and post	Susan, Kim, Paige	1. Friday, January 26th. *Time TBD.*
Investigator	• **90-minute session** • At least two offered for each go live • Record and post	Dr. Cassis, Susan, Unit Leadership	1. Tuesday, January 23rd. 11:00 – 12:30 PM ET 2. Friday, January 26th. 8:30 – 10:00 AM ET
College/Department Business Officer/Department Administrator	• **1-hour session** • One offered for each go live • Record and post	Managers	1. Tuesday, January 23rd. 1:00 – 2:00 PM ET 2. Friday, January 26th. *Time TBD.*
On-going training	• ***On-going as new leadership and staff onboard*** • ***Follows on-boarding checklists***	• *AD(s), Managers, Team Leads*	• *On-going*

Deloitte.

CGS Service Level Agreement

CGS Service Level Agreement | Process

In order to inform supervisor and staffing need for CGS, the team tailored our benchmarking approach to UK the data on unit profiles, size / complexity, etc. collected through Project GATeWAY.

Step 1: Define Services & Metrics	Step 2: Identify Staff	Step 3: Draft and Sign SLA	Deliver Services
The Project GATeWAY team worked with various UK vested parties and subject matter experts to **draft the services and key performance metrics** for the Collaboratives Grants Services. These were **voted and agreed upon by the Steering Committee.**	The Project GATeWAY team **met with each unit** that would be impacted by the new CGS to review the new services and discuss what staff will be moving into the new office. **The funding model was discussed in detail during each of these calls**.	The Project GATeWAY team drafted a C**GS Service Level Agreement (SLA)** and **incorporated feedback** from a variety of UK vested parties. As units go-live, they will meet with CGS leadership to **sign the new SLA.**	Once CGS is live, they will begin to **deliver the services scoped in the SLA.** The SLA will be reviewed periodically for **edits and updates.**

UK | Research

CGS Service Level Agreement | SLA Components

Below are the components of the SLA with specific information on the maintenance of the SLA. This can be found in more detail within the SLA that will be developed for each unit.

① Section I – General Information and Objectives

Components:
1. SLA purpose and expectation
2. Mission
3. Vision
4. Guiding principles
5. Goals
6. CGS structure

② Section II – Service Components

Components:
1. Location
2. Services
3. Expectations for response
4. Escalation procedures
5. Inappropriate request
6. Tracking effectiveness

③ Section III – SLA Maintenance

#	Component	Detail
1	*Conditions Requiring Maintenance*	As processes and policies evolve, changes to services and service levels may be required. Updates and changes to the SLA can be identified, presented, and confirmed through periodic review process.
2	*Periodic Review of SLA*	The CGS Executive Director and ADR Advisory Board will meet semi-annually to review the SLA to determine whether the services and service level commitment are meeting the needs of the departments served.
3	*Ad Hoc Maintenance Requests*	College Department Chairs, Department Administrators and Deans can propose changes to the SLA outside of the regular review process by raising their concern to the appropriate ADR who will meet with the CGS Executive Director.

④ Section IV – Funding Model and Signatures

The office of the VPR is committed to supporting and facilitating research, scholarship, and project initiatives, and the funding model is designed to ensure the successful launch and execution of such endeavors.

Beginning July 1, 2024, the new 50/50 funding model will go into effect for fiscal year 25
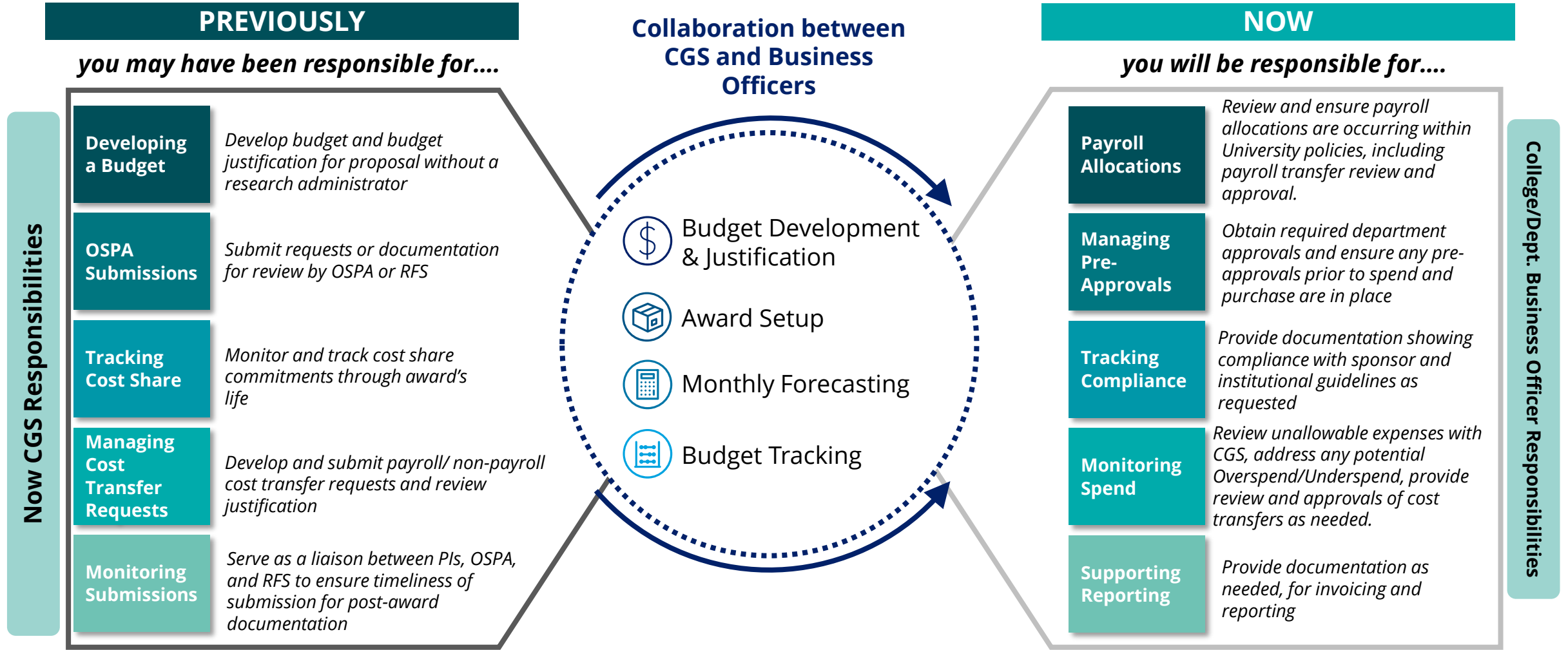
College/Unit	Collaboratives Grant Services
Name: [Insert Name]	**Name:** Susan Stark
Title: Associate Dean for Research	**Title:** Executive Director of Collaboratives Grant Services
Signature: _____	**Signature**: _____
Date: _____	**Date:** _____

Deloitte.

BO/DA Responsibilities Shift

BO/DA Responsibilities Shift | Shifting from Today to Tomorrow

Pre-and post-award responsibilities varied across the unit served, but now, there will be a consistency in services provided and received.

PREVIOUSLY

you may have been responsible for….

Now CGS Responsibilities

Developing a Budget	*Develop budget and budget justification for proposal without a research administrator*
OSPA Submissions	*Submit requests or documentation for review by OSPA or RFS*
Tracking Cost Share	*Monitor and track cost share commitments through award's life*
Managing Cost Transfer Requests	*Develop and submit payroll/ non-payroll cost transfer requests and review justification*
Monitoring Submissions	*Serve as a liaison between PIs, OSPA, and RFS to ensure timeliness of submission for post-award documentation*

Collaboration between CGS and Business Officers

- $ Budget Development & Justification
- Award Setup
- Monthly Forecasting
- Budget Tracking

NOW

you will be responsible for….

College/Dept. Business Officer Responsibilities

Payroll Allocations	*Review and ensure payroll allocations are occurring within University policies, including payroll transfer review and approval.*
Managing Pre-Approvals	*Obtain required department approvals and ensure any pre-approvals prior to spend and purchase are in place*
Tracking Compliance	*Provide documentation showing compliance with sponsor and institutional guidelines as requested*
Monitoring Spend	*Review unallowable expenses with CGS, address any potential Overspend/Underspend, provide review and approvals of cost transfers as needed.*
Supporting Reporting	*Provide documentation as needed, for invoicing and reporting*

Continue your current responsibilities until instructed otherwise by CGS or unit leadership

BO/DA Responsibilities Shift | Reconciliation

Each unit at the University conducts their reconciliation processes very differently and so CGS will work to standardize the process across the units it serves.

High-Level CGS Reconciliation Services:

1. CGS reconciliation staff will be reviewing transaction documentation for compliance with UK rules and regulations
2. If items are identified as needing further review, they are sent to a committee who will make a decision on whether a JV is needed
3. The reconciliation team will process requested cost transfers from the CGS staff and track progress of the cost transfers

The University is taking a deeper look at the reconciliation process across the entire enterprise to **understand pain points, services offered, and gaps in services.** As there are changes in the process, this will be **communicated out to the larger community.**

Deloitte.

Next Steps

Next Steps

The Project GATeWAY team will take the next steps below as we continue to prepare for the Go-Live of CGS to ensure a smooth transition at UK.

STRUCTURE

- Finalize and review SOPs with UK, aligned with future state processes
- Continue to hire for vacancies in OSPA, RFS, and CGS
- Continue to develop capacity model to forecast future research administration staffing needs

CGS

- Follow the OCM Action Plan to continue to send out communications
- **Finalize training materials and schedule trainings for impacted vested parties**
- Continue interviewing for supervisory and vacant positions
- **Finalize and sign Service Level Agreements (SLAs) with phase 1 ADRs**

TECHNOLOGY

- Finalize and test key technology stop-gaps needed before go live
- Continue evaluating process automation opportunities

Deloitte.

THANK YOU!

Your involvement is crucial to the project's success! Thank you for joining us on this journey.

Feedback, comments, or questions can be sent to the following address:

ukprojectgateway@uky.edu

Susan M. Stark, CRA

Executive Director

Julie Combs, CRA

Assistant Director, Post Award

Appendix

Appendix | CGS Pre-Award Services

The Steering Committee voted on the following pre-award activities to occur within CGS. More details including a RACI matrix can be found <u>HERE</u>

#	Pre-Award Activities
1	Assist in the pre-proposal or LOI process for sponsors that require pre-application submission prior to full proposal
2	Prepare monthly list of upcoming proposals to OSPA
3	Provide checklist of sponsor requirements based on guidelines for proposal submission
4	Create timeline to keep Investigator on track for sponsor deadline
5	Complete and aid in the development of the administrative components of a proposal, including F&A waivers, cost share approvals, and off-campus determinations
6	Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information
7	Coordinate with any subrecipients to develop and obtain budgetary and administrative documents
8	Compile all required documents and ensure compliance with institutional and sponsor-specific policies
9	Ensure a review of the final proposal prior to submission based on institutional policies and procedures
10	Prepare IAF, including tracking the routing of it and following up to facilitate its completion
11	Coordinate/arrange for prior approvals of ADR and others as needed when internal deadlines are missed for proposal being submitted to OSPA and eIAF not being fully routed before proposal submission
12	Serve as the primary liaison between PIs and OSPA, ensure timeliness of submission, and communicate deadlines
13	Aid in the collection, preparation, and dissemination of Current & Pending documentation for sponsors
14	Advise Investigator of requirements for JIT or other post-submission materials and assist in preparation of response
15	Ensure a review of the final JIT or post-submission material response prior to submission to OSPA based on institutional pre-award procedures

Deloitte.

Appendix | CGS Post-Award Services

The Steering Committee voted on the following pre-award activities to occur within CGS. More details including a RACI matrix can be found HERE

#	Post-Award Activities
1	Support OSPA and RFS with the award set up process through communication and providing updated documentation as needed (including awarded budget updates, setup in college-specific system, etc.)
2	Review the established award in the financial system for accuracy and submit requests to OSPA and RFS, as needed
3	Facilitate the communication of award terms and conditions, status of award review, and other relevant updates to PIs
4	Request outgoing subaward agreement from OSPA and submit all required documentation for review
5	Advise PIs and RFS of cost share commitments and potential risks
6	Monitor and track cost share commitments through the life of the award to ensure commitments are met
7	Develop and submit payroll cost transfer requests and documentation through collaboration with BOs and Pis
8	Develop and submit non-payroll cost transfer requests and documentation through collaboration with BOs and Pis
9	Ensure cost transfers have been correctly processed and follow up with RFS as needed
10	Create and delete non-system generated encumbrances as needed to ensure accurated spend forecasting
11	Conduct review of purchases as a part of monthly reconciliation to ensure expenses are allowable/allocable
12	Monitor active subcontracts to ensure programmatic progress and compliance
13	Review subcontract invoices for accuracy and address questions regarding payment
14	Ensure appropriate documentation is maintained to demonstrate compliance with guidelines related to expenditures
15	Coordinate and submit requests to OSPA and RFS for project changes, prior approvals, revisions etc.
16	Serve as liaison between PIs, OSPA and RFS to ensure timeliness of submission for relevant post-award documentation
17	Monitor budgets and expenses and advise PIs accordingly (e.g., burn rate, budget/expense forecasting, etc.)
18	Prepare monthly forecast sheets that summarize a Investigator's financial position and track spending per account
19	Provide and/or elevate requests to develop other research administration reports as needed to suit Investigator and unit needs
20	Prepare/submit required equipment and small business subcontracting reports
21	Review grant financials prior to the submission of sponsor-required financial reports
22	Provide required documentation needed for invoicing or reporting to RFS as required by award/sponsor
23	Discuss potential for carryforward requests and/or deficits with the PI and coordinate the closeout process with OSPA and RFS
24	Prepare cash transmittals for all live checks and cash received directly and submit to Treasury Services for posting and OSPA for budget adjustments when needed
25	Communicate payroll confirmation policies to PIs/research staff, and partner with PIs to distribute/track the process
26	Coordinate with Investigator, College, and OSPA to collect and disseminate leave of absence information and manage any changes to active projects and pending awards

Deloitte.

BO/DA Responsibilities Shift | From BO/DA to CGS (1/2)

Below details out some of the roles and responsibilities that are shifting from Business Officers (BO) and Department Administrators (DA) to Collaborative Grant Services (CGS) staff.

Task	BO/DA	CGS
PROPOSALS		
PROPOSAL DEVELOPMENT		
Provide application guidelines and forms		x
Prepare proposal budget consistent with sponsor guidelines and UK Cost Policy		x
Prepare proposal forms		x
Notify CGS that a proposal is in the development stage; provide sufficient detail for identification of program guidelines		
Provide guidance on budget development and UK costing policies		x
PROPOSAL REVIEW		
Prepare and secure signature/committee approval for programmatic activities that require institutional approval prior to submission of the proposal, e.g. biosafety, human subjects, animals, etc.		x
IAF completed and received by OSPA at least 3 business days prior to sponsor's published deadline		x
Review proposals for consistency with sponsor guidelines on budget, formatting requirements, font size, page limits excluding narrative content (obtain and review sponsor guidelines)		x
Review budgets for consistency with UK costing guidelines		x
PROPOSAL SUBMISSION - PAPER		
If the IAF and COI have not been completed by the internal deadline, the proposal will not be submitted without ADR concurrence		x
PREAWARD AUTHORIZATION AND JUST-IN-TIME (JIT) SUBMISSIONS		
Prepare/secure JIT documentation for human subjects, animals, other support		x
Prepare small business subcontracting plans when required by federal contracts		x
AWARDS		
AWARD REVIEW AND ACCEPTANCE		
Reroute internal paperwork if a revised IAF is required		x
Coordinate project startup, including processes for documenting salary (direct charging and cost sharing) in FES/payroll for all budgeted positions; coordinate process to document and provide required cost sharing, milestone, etc backup to RFS needed for invoicing or reporting throughout the life of the award		x
AMENDMENTS		
If amendments result in a 25% or greater change in the budget from the approved IAF, route revised internal paperwork		x

This is not a complete list of all tasks that BO/DAs perform across their units as this can vary greatly.

BO/DA Responsibilities Shift | From BO/DA to CGS (2/2)

Below details out some of the roles and responsibilities that are shifting from Business Officers (BO) and Department Administrators (DA) to Collaborative Grant Services (CGS) staff.

FINANCIAL/ADMINISTRATIVE MANAGEMENT		
Task	**BO/DA**	**CGS**
Monitor accounts		x
Approve expenditures	x	
Provide budgetary management assistance and guidance to PI; facilitate resolution of accounting problems		x
If a small business subcontract plan exists, incur costs with vendors that address the goals of the plan		x
Prepare, justify, and transmit rebudgeting requests that address changes in project needs to OSPA as appropriate		x
Provide rebudgeting justification to address Cost Accounting Standard disallowances		x
Perform and document reconciliation and review of financial transactions on a monthly basis per BPM E-17-6		x
Review PI Reports issued monthly for appropriateness and reasonability of charges; documenting and communicating issues identified and resolution requested		x
Ensure financial management processes are completed for timely closeout of sponsored project accounts and compliance with year-end deadlines		x
Initiate request for project changes such as rebudgets, no-cost extensions, change in PI effort, change in scope of work, etc.		x
Prepare cash transmittals for all live checks and cash received directly and submit to Treasury Services for posting and OSPA for budget adjustments when needed	x	x
MISCELLANEOUS PROJECT ACTIVITIES		
Prepare/submit required equipment and small business subcontracting reports		x
SUBAWARDS		
Review proposed budget for reasonableness in terms of scope of work		x
Prepare "Subagreement Request" form and attach scope of work and budget.		x
Review subaward invoices for accuracy and completeness as it relates to the subaward agreement, purchase order, account, and financial compliance including period of performance, invoice current and cumulative amounts, match/cost share or documentation requirements, etc. (Optional SIR can be established for financial review)		x
Perform required subaward invoice reviews and certification in order to ensure payment is made within 30 days of receipt by APS		x
Place any subaward invoice deemed to be improper on hold in SAP pending problem resolution		x
Resolve any invoicing or financial issues with subrecipients or APS directly; contact subawards@uky.edu with questions or need for assistance		x
If problems are identified with programmatic progress or performance of a subaward, contact the RA regarding contractual actions that can be taken.		x

This is not a complete list of all tasks that BO/DAs perform across their units as this can vary greatly.

Continue your current responsibilities until instructed otherwise by CGS or unit leadership

BO/DA Responsibilities Shift | RACI Matrix – Responsible and Accountable

Below is a snapshot of where a College/Department or a College/Department Business Officer/Administrator is responsible or accountable for a grant associated task.

#	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Responsible	Accountable	Consulted	Informed
27	Award Set-Up	10 Maintain Sponsored Projects	**Ensure appropriate documentation is maintained to demonstrate compliance with guidelines related to expenditures**	Collaboratives College/Department	PI	OSPA RFS	College/Department Business Officer/Administrator
36	Sponsored Project Closeout	12 Execute Closeout Activities	**Provide required documentation needed for invoicing or reporting to RFS as required by award/sponsor**	Collaboratives College/Department	PI	RFS	RFS
37	Sponsored Project Closeout	12 Execute Closeout Activities	**Prepare cash transmittals for all live checks and cash received directly and submit to Treasury Services for posting and OSPA for budget adjustments when needed**	Collaboratives College/Department	PI	RFS	RFS OSPA
38	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	**Communicate payroll confirmation policies to PIs/research staff, and partner with PIs to distribute/track the process**	Collaboratives College/Department	PI	RFS	PI College/Department

#	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Responsible	Accountable	Consulted	Informed
11	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	**Coordinate/arrange for prior approvals of ADR and others as needed when internal deadlines are missed for proposal being submitted to OSPA and IAF not being fully routed before proposal submission**	Collaboratives	PI College/Department Business Officer/Administrator	OSPA	College/Department Business Officer/Administrator
21	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	**Develop and submit payroll cost transfer requests and documentation through collaboration with BOs and PIs**	Collaboratives	PI College/Department	RFS	College/Department Business Officer/Administrator

This is not a complete list of all tasks that BO/DAs perform across their units as this can vary greatly.

Continue your current responsibilities until instructed otherwise by CGS or unit leadership

Deloitte.

BO/DA Responsibilities Shift | RACI Matrix – Consulted

Below is a snapshot of where a College/Department or a College/Department Business Officer/Administrator is consulted for a grant associated task.

#	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Responsible	Accountable	Consulted	Informed
6	Pre-Award Administration	01 Develop Sponsored Project Proposal	Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information	Collaboratives	PI	OSPA College/Department Business Officer/Administrator	College/Department Business Officer/Administrator
13	Pre-Award Administration	03 Current and Pending Support or Other Support	Aid in the collection, preparation, and dissemination of Current & Pending documentation for sponsors	Collaboratives	PI	OSPA College/Department Business Officer/Administrator	PI
16	Pre-Award Administration	05 Review and Execute Formal Sponsored Project Awards and Agreements	Support OSPA and RFS with the award set up process through communication and providing updated documentation as needed (including awarded budget updates, setup in college-specific system, etc.)	Collaboratives	PI	College/Department Business Officer/Administrator	OSPA RFS
20	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	• Advise PIs and RFS of cost share commitments and potential risks • Monitor and track cost share commitments through the life of the award to ensure commitments are met	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
22	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Develop and submit non-payroll cost transfer requests and documentation through collaboration with BOs and PIs	Collaboratives	PI	RFS College/Department	College/Department Business Officer/Administrator
23	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Ensure cost transfers have been correctly processed and follow up with RFS as needed	Collaboratives	PI	RFS College/Department	College/Department Business Officer/Administrator
24	Manage Sponsored Project Spend and Billing	08 Manage Sponsored Project Spend	Create and delete non-system generated encumbrances as needed to ensure accurate spend forecasting	Collaboratives	PI	College/Department	College/Department Business Officer/Administrator RFS
28	Award Set-Up	10 Maintain Sponsored Projects	Coordinate and submit requests to OSPA and RFS for project changes, prior approvals, revisions etc.	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
31	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare monthly forecast sheets that summarize a Investigator's financial position and track spending per account	Collaboratives	PI	College/Department Business Officer/Administrator	PI College/Department Business Officer/Administrator
35	Sponsored Project Closeout	12 Execute Closeout Activities	• Review grant financials prior to the submission of sponsor-required reports • Discuss potential for carryforward requests and/or deficits with the PI and coordinate the process with OSPA and RFS	Collaboratives	PI	OSPA College/Department RFS	College/Department Business Officer/Administrator
40	Manage Sponsored Project Reporting and Compliance	13 Compliance Reporting	Coordinate with Investigators, College, and OSPA to collect and disseminate leave of absence/MOU information and manage any changes to active projects and pending awards	Collaboratives PI	PI	OSPA College/Department RFS	OSPA RFS

This is not a complete list of all tasks that BO/DAs perform across their units as this can vary greatly.

Continue your current responsibilities until instructed otherwise by CGS or unit leadership

BO/DA Responsibilities Shift | RACI Matrix – Informed

Below is a snapshot of where a College/Department or a College/Department Business Officer/Administrator is informed on a grant associated task.

#	Business Process Taxonomy - L2 Process	Business Process Taxonomy - L3 Process	Business Process Taxonomy - L4 Service	Responsible	Accountable	Consulted	Informed
1	Pre-Award Administration	01 Develop Sponsored Project Proposal	Assist in the pre-proposal or LOI process for sponsors that require pre-application submission prior to full proposal	Collaboratives	PI	OSPA	OSPA College/Department Business Officer/Administrator
2	Pre-Award Administration	01 Develop Sponsored Project Proposal	Prepare monthly list of upcoming proposals to OSPA	Collaboratives	Collaboratives	PI	OSPA College/Department Business Officer/Administrator
4	Pre-Award Administration	01 Develop Sponsored Project Proposal	Create timeline to keep Investigator on track for sponsor deadline	Collaboratives	PI	OSPA	OSPA College/Department Business Officer/Administrator
5	Pre-Award Administration	01 Develop Sponsored Project Proposal	Complete and aid in the development of the administrative components of a proposal, including F&A waivers, cost share approvals, and off-campus determinations	Collaboratives	PI	OSPA	College/Department Business Officer/Administrator
10	Pre-Award Administration	02 Review and Submit Application for Sponsored Project Funding	Prepare IAF, including tracking the routing of it and following up to facilitate its completion	Collaboratives	PI	OSPA	College/Department Business Officer/DA
17	Award Set-Up	06 Establish Sponsored Projects	Review the established award in the financial system for accuracy and submit requests to OSPA and RFS, as needed	Collaboratives	PI	OSPA RFS	PI College/Department Business Officer/Administrator
18	Award Set-Up	06 Establish Sponsored Projects	Facilitate the communication of award terms and conditions, status of award review, and other relevant updates to PIs	Collaboratives	PI	OSPA RFS	PI College/Department Business Officer/Administrator
25	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Monitor active subcontracts to ensure programmatic progress and compliance	Collaboratives PI	PI	OSPA	College/Department Business Officer/Administrator
26	Manage Sponsored Project Reporting and Compliance	09 Maintain Subawards	Review subcontract invoices for accuracy and address questions regarding payment	Collaboratives PI	PI	OSPA RFS	College/Department Business Officer/Administrator
29	Award Set-Up	10 Maintain Sponsored Projects	Serve as liaison between PIs, OSPA and RFS to ensure timeliness of submission for relevant post-award documentation	Collaboratives	PI	OSPA RFS	College/Department Business Officer/Administrator
30	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Monitor budgets and expenses and advise PIs accordingly (e.g., burn rate, budget/expense forecasting, etc.)	Collaboratives	PI	OSPA	College/Department Business Officer/Administrator
32	Manage Sponsored Project Reporting and Compliance	11 Sponsored Project Reporting	Prepare and submit sponsor-required progress reports (RPPRs or other similar reports)	Collaboratives PI	PI	OSPA Collaboratives	OSPA College/Department Business Officer/Administrator

Continue your current responsibilities until instructed otherwise by CGS or unit leadership