

Caltech Responsibility/Approval Authority Matrix

	Responsibility/Approval Authority														
	PI	SPNSR	CHAIR	VP-R	GRAD	PROV	PRES	OSR	PAA	PROC	PROP	EC	ORC	OTT	OGC
PROPOSAL PREPARATION & SUBMISSION															
Processing															
Initiate/Develop Proposal	X														
Route Proposal for Approvals (DAF/MORA)	X														
Review Proposal for Compliance	X	X	X					X				X*		X*	
Submit Proposal to Sponsor								X							
Eligibility to be PI/co-PI															
Professorial Faculty as PI/co-PI	X		X												
Postdoc as PI on Postdoctoral Opportunity		X	X	X*											
Grad Student as PI on Student Opportunity		X	X		X										
All Others as PI or co-PI		X	X	X											
Effort Commitment (federal proposals)															
Budgeting of Committed PI Effort	X		X												
Cost Sharing of Committed PI Effort				X		X									
Overhead															
Overhead Reduction or Waiver (MORA)			X			X									
Use of Off-campus Overhead Rate			X			X									
Cost Sharing															
Cost Sharing			X			X									
Cost Sharing of Committed PI Effort			X			X									
Fabrication of Equipment															
Qualification as Fabrication										X					
Allowability on Award								X							
Inclusion of Academic Salaries			X			X									
Conflict of Interest															
Disclose PI Financial Interests	X														
Confirm Disclosure of PI Financial Interests			X					X							

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AWARD ACTIVATION/NOTIFICATION															
Initiate PTA Setup	X														
Request At-Risk PTA	X														
Approve Fabrication PTA								X			X				
Approve non-Fabrication PTA								X							
Implement Conditional Award Restrictions								X							
Issue Award Summary & Documents								X							
POST-AWARD															
Oversight															
Programmatic	X														
Charges to PTAs	X														
Review of Charges to PTA's	X	X	X						X						
Human/Animal/BioSafety	X												X		
Conflict of Interest	X		X										X		
Coordination of A-133 and Sponsor Audits									X						
Reporting															
Programmatic	X														
Financial									X						
Property											X				
Internal IP Disclosures	X														
External IP Disclosures														X	
Invention Reporting								X						X*	
Coordination of Report Submission								X							
Late Technical Reports			X*	X*		X*		X							
Financial															
Initiate Cost Transfers	X														
Approve Cost Transfers	X								X						
Approve Over-90-Day Cost Transfers	X		X						X						
Monitor Cost Sharing	X								X						
Modify Cost Sharing in OGM								X							
Monitor Committed Effort	X								X						
Modify Committed Effort in OGM								X							

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	PI	SPNSR	CHAIR	VP-R	GRAD	PROV	PRES	OSR	PAA	PROC	PROP	EC	ORC	OTT	OGC
Invoicing															
Review for Higher Risk Costs									X						
Transfer-Off Unallowables	X														
Prepare/Submit Invoices									X						
Provide Excessive Invoice Documentation	X								X						
Draw-down Funds									X						
Monitor Aging									X						
Collections								X*	X						X*
Payroll Distribution Confirmation															
Issue PDC Forms									X						
Approve PDC Forms	X														
Monitor PDC Form Submission			X						X						
Changes to Award Terms															
Initiate Request (e.g., for NCE)	X														
Approve/Submit Request								X							
Distribute Award Modification								X							
Subawards															
Initiate Subaward in TechMart	X														
Negotiate/Issue Subaward								X*		X					X*
Manage Subaward										X					
Monitor Performance of Subrecipient	X														
Review/Approve Invoices	X														
Pay Invoices										X					
Closeout															
Initiate Closeout Process									X						
Finalize Expenditures	X														
Submit Final Financial Report									X						
Submit Final Technical Report	X														
Submit Final Property Report											X				
Submit Final Invention Report								X						X*	
Coordinate Final Reporting								X							
Late Technical Reports			X*	X*		X*		X							

Acronym	Full Name
PI	Principal Investigator (the PI may be assisted by Division personnel)
SPNSR	Professorial Faculty Sponsor/Advisor
CHAIR	Division Chair
VP-R	Vice Provost for Research
GRAD	Graduate Dean
PROV	Provost
PRES	President
OSR	Office of Sponsored Research
PAA	Post Award Administration
PROC	Procurement
PROP	Property Services
EC	Export Compliance
ORC	Office of Research Compliance
OTT	Office of Technology Transfer
OGC	Office of General Counsel
X*	May be engaged if need is determined