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							
Coverage analysis to review and approve 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 deliniate 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 Proposal Approval Record	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	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 identifed 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 industrial 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 advance funding account	P														
Approve advance funding request (CTO primary for industrial sponsored clinical trials only)		a	P				a	a							
Obtain firm commitment and/or approval from sponsor (CTO primary for industrial sponsored clinical trials only)							P	P							
Confirm status of award, firm commitment and/or allowability of advance funding with sponsor (CTO primary for industrial sponsored clinical trials only)							P	P							
Establish preaward or advance funding account (CTO primary for industrial sponsored clinical trials only)							P	P							
Monitor preaward or advance funding account (CTO for industrial 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 priomary 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				
Monitor and oversee financial expenditures	P	S	S					a	a						
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, if required by terms/conditions of the award/agreement							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								
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 entire University												P			
Coordinate A-133 audit									S			P			