

#### **Sponsored Projects Services Roles & Responsibilities Matrix**

#### The purpose of this matrix is to clearly identify who owns each task

PI	Principal Investigator
SPA	Sponsored Projects Analyst, Grants Analyst, or similarly functioning position at college/unit level
Dept	Departmental Administrators
College/Unit	College Dean/Unit Director
SPS RA	Sponsored Projects Services Research Administrator (university level)
SPS CGA	Sponsored Projects Services Contracts & Grants Administrator (university level)
FS	Financial Services
LA	Legal Affairs
Other	Other departments or units within the University outside of those identified above; (e.g., Research Integrity)

"O" when no Analyst is assigned to a unit, or when there's no similarly functioning position is available at college/unit level

	PI	SPA*	Dept	College/	SPS RA	SPS	FS	LA	Other
Identifying Funding Opportunity Announcements (FOAs)	V	V		Unit	V	CGA			
Search for FOAs	X	X			X				
Interpret FOA guidelines/requirements	X	X	Х	Х	X				
Identify internal funding resources Identify collaborators	X	Α	Χ	Α	Х				
Identify collaborators				/					
Proposal Preparation	PI	SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
Write proposal narrative	Х								
Develop proposal budget	Х	Х			0				
Develop proposal budget justification	Х	Х			0				
Identify cost sharing requirements (if applicable)	Х	Х			Х				
Request, collect and review required subaward documentation	Х	Х			0				
Secure CU and external letter(s) of commitment/support (if applicable)	Х	Х			Х				
Provide guidance supplemental proposal documents	X	X			X				
Collect and track required supplemental proposal documents	X	X			X				
Confirm proposal meets sponsor formatting/compliance requirements	X	X			X				
Review budget to confirm it is within sponsor guidelines	X	X			X				
	X	X			X				
Complete preparation matches budget & meets sponsor requirements	X	X			0				
Complete proposal routing form in Cayuse SP		1							
Submit completed proposal routing form and draft documents for approval (Cayuse SP), including COI disclosure	Х	Х		2 " /	Х				
Proposal Review and Approval by Chairs and Deans/Unit Directors	PI	SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
Costshare - review commitments carefully, Approval in Cayuse record is proof of comittement by unit				Х					
Faculty time commitments - course buyouts, summer salary and extra pay				Χ					
Review/approve routed proposal before SPS final review/submission				Х					
7,7,7				College/		SPS			
Proposal Submission	PI	SPA*	Dept	Unit	SPS RA	CGA	FS	LA	Other
Upload final documents to funding platforms (Cayuse 424, Grants@heart, etc.)	Х	Х		0		00/1			
Proposals required to be submitted by authorized Institutional Official					Х				
Obtain hardcopy/original signatures	Х	Х	0		X				
Proposals required to be mailed, emailed directly, or hand delivered	X	X	0		^				
Proposals required to be maned, emaned directly, or mand delivered	^	^	U	Callaga		CDC			
Sponsored Project Transfers (incoming awards)	PI	SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
Communicate with sponsor and/or previous institution regarding transfer	Х				Х				
Prepare sponsor required proposal documents for transfer to CU, including budget	Х	Х			Х				
Submit required documents to sponsor to request transfer					Х				
Accept award to CU for sponsored activity					Х				
Regulatory Compliance Requirement	PI	SPA*	Dept	College/	SPS RA	SPS	FS	LA	Other
	V			Unit		CGA			V
Complete and submit compliance documents, if applicable (IRB, IACUC, etc.)	X								Х
Ensure required compliance approvals are obtained	Х								
Award Acceptance and Project Account Set Up	PI	SPA*	Dept	College/	SPS RA	SPS	FS	LA	Other
·				Unit		CGA			
Review terms and conditions	X	1			X				
Review and approve programmatic terms	Х	-			X		-	,,	
Negotiate terms with sponsor	_	-			X			Х	
Accept sponsor notification of award (NOA, executed agreement)					Х			Х	
Obtain Chapman University authorized signature, if required					Х			Χ	
Confirm compliance requirements are in place, if applicable (IRB, IACUC)	Х				Х				Х
Ensure cost sharing is documented (if applicable)	Χ	Х	X						
	_								
Internally process award and establish Project ID  Notify PI of account set up and provide Project ID					Х	X	Χ		



# Office of Research

#### Sponsored Projects Services Roles & Responsibilities Matrix

### The purpose of this matrix is to clearly identify who owns each task

PI	Principal Investigator
SPA	Sponsored Projects Analyst, Grants Analyst, or similarly functioning position at college/unit level
Dept	Departmental Administrators
College/Unit	College Dean/Unit Director
SPS RA	Sponsored Projects Services Research Administrator (university level)
SPS CGA	Sponsored Projects Services Contracts & Grants Administrator (university level)
FS	Financial Services
LA	Legal Affairs
Other	Other departments or units within the University outside of those identified above: (e.g., Research Integrity)

"O" when no Analyst is assigned to a unit, or when there's no similarly functioning position is available at college/unit level

Conducting and Managing the Project/Sponsored Activity	When no Analyst is assigned to a unit, of when there s no similarly functioning position is available at conege, unit level				College/		SPS			
Track sequement inventory and file of supplies  Intilizate portions for the grotect  Intilizate portions for the grotect changes to supplie thanges  Intilizate portion of the grotect changes to supplie thanges  Submit requested changes to openinc (if required)  Submit requested values and oversee expenditures  Pip SPAP  Dept College/ Unit Value Values  Values Values  Values	Conducting and Managing the Project/Sponsored Activity	PI	SPA*	Dept		SPS RA		FS	LA	Other
Inflate price approach for the project changes when required (extensions, change in scope, etc.)   X	Overall management of project/sponsored activity	Χ								
Initiate prior approval for project changes when required (actendions, change in scope, etc.)    X	Track equipment inventory and list of supplies	Χ		Х						
Interies and approve requested project changes  Market Amazel Status and/or reports and oversee sependitures  No N	Initiate purchases for the project	Χ		Х						
Submit requested charges to sponsor (if required)  Review financial statu and/or reports and oversee segnelatures  X X X O	Initiate prior approvals for project changes when required (extensions, change in scope, etc.)	Χ	Х	0						
Submit requested charges to sponsor (if required)  Review financial statu and/or reports and oversee segnelatures  X X X O	Review and approve requested project changes					Х				
Review and approve expenditures  X X D C College/ Maintain project for for project or recording and Preventing										
Submit regense/P-Card report via Concur which must include receipts of purchases  Review and approve expenditures received via C und Concur workflow  Maintain project budget tracking sheet for project forecasting and P reconciliations  X X X O C Colleger  Allocating personnel expenditures (reconciliation)  Allocating personnel to Sponsored Project  PP SPA* Dept Colleger  Unit SPS RA SPS UA Other  Intensitive and Summer/Extra Pay Requests  PI SPA* Dept Colleger  Unit SPS RA SPS UA Other  Intensitive and Summer/Extra Pay Requests  Prepare the incentive pay form and submit for payment with the extra pay form  Review and approve the incentive Pay form and submit for payment with the extra pay form  X X X O X X X X X X X X X X X X X X X	, , , , ,	Х	Х	0						
Review and approve expenditures received vis CU and Concur workflow Maintain projecte duget tracking there for project forestating and Pir reconciliations  X X X 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0										
Maintain project budget tracking sheet for protect forecasting and Pireconciliations  Review and approve the ine tem detailed expenses posted to project after CU month end financial close to confirm accuracy of charges, including personnel expenditures (reconciliation)  Allocating Personnel to Sponsored Project  Pi SPA* Dept College/ Unit SPS RA GGA PS LA Other College/ Unit SPS							Х	Х		
Review and approve line item detailed expenses posted to project after CU month end financial close to confirm accuracy of charges, including personnel expenditures (reconciliation)  Allocating Personnel to Sponsored Project Initiate ERCR to allocate appropriate personnel and salary percentages to project  Review and approve ERCR request to allocate personnel/salary percentages to project  Review and approve ERCR request to allocate personnel/salary percentages to project  Review and approve ERCR request to allocate personnel/salary percentages to project  PI SPA* Dept Unit  N X X X X X X X X X X X X X X X X X X			Х	0						
of charges, including personnel expenditures (reconciliation)  Allocating Personnel to Sponsored Project  Pl SPA* Dept Unit  Initiate ERCR to allocate appropriate personnel and salary percentages to project  X X X X  X X X  X X X  X X X X  X										
Allocating Personnel to Sponsored Project Initiate ERCR to allocate appropriate personnel and salary percentages to project Initiate ERCR to allocate appropriate personnel and salary percentages to project Initiate ERCR to allocate appropriate personnel/salary percentages to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate personnel/salary percentage to project Initiate ERCR to allocate appropriate with the extra pay form and submit for payment from sponsor Initiate ERCR to allocate and project submission to sponsor Initiate ERCR to allocate and project submission to sponsor Initiate ERCR to allocate and project submission to sponsor Initiate ERCR to allocate and project submission to sponsor Initiate ERCR to allocate and project submission to sponsor Initiate ERCR to allocate and power submission to sponsor Initiate ERCR to allocate and project submission to spons		Χ	Х	0			0			
Allocating Personnel to Sponsored Project    P  SpA*   Dept   Unit   SPS RA   CGA   FS   LA   Other	or enarges, metalang personner experiantales (recommunity)				Callage/		CDC			
Review and approve ERCR request to allocate personnel/salary percentage to project  Incentive and Summer/Extra Pay Requests  PI SPA* Dept Unit Unit SPA SPA CGA PERSONNEL SPA SPA SPA SPA SPA CGA PERSONNEL SPA SPA SPA CGA PERSONNEL SPA	Allocating Personnel to Sponsored Project	PI	SPA*	Dept	<u> </u>	SPS RA		FS	LA	Other
Incentive and Summer/Extra Pay Requests  Prepare the Incentive pay form and submit for payment with the extra pay form  Review and approve the Incentive Pay request  X X X X X X X X X X X X X X X X X X X	Initiate ERCR to allocate appropriate personnel and salary percentages to project	Х	Х	Χ						
Incentive and Summer/Extra Pay Requests Prepare the Incentive pay form and submit for payment with the extra pay form    X	Review and approve ERCR request to allocate personnel/salary percentage to project			Х	Х		Х			
Incentive and Summer/Extra Pay Requests Prepare the Incentive pay form and submit for payment with the extra pay form    X					College/		SPS			
Prepare the Incentive pay form and submit for payment with the extra pay form  Review and approve the Incentive Pay request  X X O X X X X X X X X X X X X X X X X	Incentive and Summer/Extra Pav Requests	PI	SPA*	Dept	_	SPS RA	CGA	FS	LA	Other
Review and approve the Incentive Pay request  X				V						
Prepare the summer/extra pay form and submit for payment Review and approve the budgeted Summer/Extra Pay request  X  X  X  X  X  X  X  X  X  X  X  X  X		.,		_^		1				
Review and approve the budgeted Summer/Extra Pay request    X				_	Х					Х
PI   SPA*   Dept   College/ Unit   SPS RA   SPS   CGA   FS   LA   Other			Х	0						
Invoicing and Financial Reporting	Review and approve the budgeted Summer/Extra Pay request	Χ			Х		Х			Х
Prepare and submit invoices and financial reports to sponsor  Review and approve credit draws before submission to sponsor  Prepare letter of credit draws for submission to sponsor  Review and approve credit draws before submission to sponsor  Monitor and collect outstanding payments from sponsor  PI SPA* Dept College/ Unit SPS RA GGA FS LA Other College/ Unit SPS RA GGA FS LA Other College In	Invoicing and Financial Reporting	PI	SPA*	Dept	<u> </u>	SPS RA		FS	LA	Other
Review and approve invoices and financial reports before submission to sponsor Prepare letter of credit draws for submission to sponsor  Monitor and collect outstanding payments from sponsor  Outgoing Subaward Issuance  PI SPA* Dept Unit Unit Unit Unit Unit Unit Unit Uni					<b>0</b> 1 <b>0</b>			Х		
Prepare letter of credit draws for submission to sponsor										
Review and approve credit draws before submission to sponsor  Monitor and collect outstanding payments from sponsor  PI SPA* Dept College/ Unit SPS RA SPS CGA FS LA Other  Oversee project activity by subawarde(s) (non-financial)  X X X X X X X X X X X X X X X X X X X								Х		
Monitor and collect outstanding payments from sponsor    PI SPA*   Dept   College/ Unit   SPS RA   SPS   CGA   FS   LA   Other   Confirmation   Confirmation							X			
Outgoing Subaward Issuance  PI SPA* Dept College/ Unit SPS RA CGA FS LA Other Coverse project activity by subawardee(s) (non-financial)  Prepare draft subaward documents  X X X X X X X X X X X X X X X X X X X								Х		
Outgoing Subaward Issuance Oversee project activity by subawardee(s) (non-financial) Prepare draft subaward documents  Review subaward requests, negotiate and process subaward documents  Confirm subaward compliance requirements are in place (if applicable)  Subrecipient monitoring  X X X	women and concer outstanding payments from sponsor				College/		SDS	^		
Prepare draft subaward documents  Review subaward requests, negotiate and process subaward documents  Confirm subaward compliance requirements are in place (if applicable)  X	Outgoing Subaward Issuance	PI	SPA*	Dept	_	SPS RA		FS	LA	Other
Review subaward requests, negotiate and process subaward documents  Confirm subaward compliance requirements are in place (if applicable)  X	Oversee project activity by subawardee(s) (non-financial)	Χ								
Confirm subaward compliance requirements are in place (if applicable)  X  X  X  X  X  X  X  X  X  X  X  X  X		Χ	Х			Х				
Confirm subaward compliance requirements are in place (if applicable)  X  X  X  X  X  X  X  X  X  X  X  X  X	Review subaward requests, negotiate and process subaward documents					Х			Χ	
Subrecipient monitoring  Review and approve subaward invoices  Request for Payment of subaward invoices, if Non-PO can be used for the request  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  PI SPA* Dept College/ Unit SPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by RSPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices by RSPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices by RSPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices by RSPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices by RSPS RA SPS CGA FS LA Other  ** Create blanket POs and request payment for payment of submission by Institional Official not required by X X X S SUBMIT Payment of submission by Institional Official not required by X X X S SUBMIT Payment of submission by Institional Official not required S X X X S SUBMIT Payment of submission by Institional Official not required S X X X S SUBMIT Payment of submission by Institional Official not required S X X S SUBMIT Payment of submission by Institional Official not required S X X X S SUBMIT Payment of submission by Institional Official not required S X X X S SUBMIT Payment of submission by Institional Official not required S X X X S SUBMIT Payment of submissio	Confirm subaward compliance requirements are in place (if applicable)	Χ				Х				
Request for Payment of subaward invoices, if Non-PO can be used for the request  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP  ** Create blanket POs and request payment for subaward invoices by EPI SPA* Dept College/ Unit SPS RA CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices payment of AP  ** Create blanket POs and request payment for subaward invoices payment for subaward invoices per SPS RA CGA FS LA Other  ** Create blanket POs and request payment for subaward invoices payment for subaward invoices payment for subaward invoices payment for subaward forwarding to AP  ** Create blanket POs and request payment for subawards payment for A		Χ	Х			0	0			
** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP    Variable   Variable	Review and approve subaward invoices	Χ	Х	0			Х	Х		
Outgoing Collaborator/Consultant Agreements (other than subawards)  Oversee project activity by contracted collaborator(s) (non-financial)  Prepare draft agreement documents  Review agreement requests, negotiate and process agreement documents  Confirm collaborator compliance requirements are in place (if applicable)  Collaborator monitoring  Review and approve collaborator invoices  Payment of collaborator invoices  Project Progress Reports  Project Progress Reports  Proper progress reports  X X X D Dept College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  Proper progress reports to sponsor if submission by Institional Official not required  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X S SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X S SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices	Request for Payment of subaward invoices, if Non-PO can be used for the request		Х	0						
Outgoing Collaborator/Consultant Agreements (other than subawards)  Oversee project activity by contracted collaborator(s) (non-financial)  Prepare draft agreement documents  Review agreement requests, negotiate and process agreement documents  Confirm collaborator compliance requirements are in place (if applicable)  Collaborator monitoring  Review and approve collaborator invoices  Payment of collaborator invoices  Project Progress Reports  Project Progress Reports  Proper progress reports  X X X D Dept College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  Proper progress reports to sponsor if submission by Institional Official not required  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X D SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X S SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices  X X X S SUBMISSION DEPT College/ Unit SPS RA SPS CGA FS LA Other Collaborator invoices	** Create blanket POs and request payment for subaward invoices by receiving and forwarding to AP			Х				Х		
Oversee project activity by contracted collaborator(s) (non-financial)  Prepare draft agreement documents  Review agreement requests, negotiate and process agreement documents  Confirm collaborator compliance requirements are in place (if applicable)  X X X O X O X X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X X O X O X O X X O X		PI	SPA*	Dept		SPS RA		FS	LA	Other
Prepare draft agreement documents  Review agreement requests, negotiate and process agreement documents  Confirm collaborator compliance requirements are in place (if applicable)  Collaborator monitoring  X X X V X X X X X X X X X X X X X X X				-,-	Unit		CGA			
Review agreement requests, negotiate and process agreement documents  Confirm collaborator compliance requirements are in place (if applicable)  X X X V X X X X X X X X X X X X X X X										
Confirm collaborator compliance requirements are in place (if applicable)  Collaborator monitoring  Review and approve collaborator invoices  X X X O X O X X O X O X X O	Prepare draft agreement documents	Х	Х	0		Х				
Collaborator monitoring  Review and approve collaborator invoices  Payment of collaborator invoices  Project Progress Reports  Prepare progress reports  X X X O X X X X X X X X X X X X X X X									Х	
Review and approve collaborator invoices  Review and approve collaborator invoices  X X X										Х
Payment of collaborator invoices    X   O				0		Х				
Project Progress Reports  Project Progress Reports  Prepare progress reports  X X X  Submit progress reports to sponsor if submission by Institional Official not required  X X X  Submit progress reports to sponsor if submission by Institional Official not required  X X X  Submit progress reports to sponsor if submission by Institional Official not required  Project Progress Reports  X X X  Submit progress reports to sponsor if submission by Institional Official not required		Х					Х			
Project Progress Reports     PI     SPA*     Dept Unit     Unit     SPS RA CGA     FS     LA     Other Other       Prepare progress reports     X     X     X     X     X       Submit progress reports to sponsor if submission by Institional Official not required     X     X     X     X     X	Payment of collaborator invoices		Х	0				Х		
Prepare progress reports X X X Submit progress reports to sponsor if submission by Institional Official not required X X X Submit progress reports to sponsor if submission by Institional Official not required S X X S Submit progress reports to sponsor if submission by Institional Official not required S X X S S S S S X X S S S S S S S S S	Project Progress Reports	PI	SPA*	Dept	_	SPS RA		FS	LA	Other
Submit progress reports to sponsor if submission by Institional Official not required X X X		Y	Y		Offic		COA			
	, , ,					1		-		
	Review and submit progress reports that require submission by Institutional Official	X	Χ			Х		-		



## Office of Research

### Sponsored Projects Services Roles & Responsibilities Matrix

#### The purpose of this matrix is to clearly identify who owns each task

PI	Principal Investigator
SPA	Sponsored Projects Analyst, Grants Analyst, or similarly functioning position at college/unit level
Dept	Departmental Administrators
College/Unit	College Dean/Unit Director
SPS RA	Sponsored Projects Services Research Administrator (university level)
SPS CGA	Sponsored Projects Services Contracts & Grants Administrator (university level)
FS	Financial Services
LA	Legal Affairs
Other	Other departments or units within the University outside of those identified above; (e.g., Research Integrity)

"O" when no Analyst is assigned to a unit, or when there's no similarly functioning position is available at college/unit level

"O" when no Analyst is assigned to a unit, or when there's no similarly functioning position is available at college/unit level.  Project Close Out	PI	SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
Confirm all expenditures have posted to project account	Χ	Х	0			Х	Χ		
Prepare final invoice							Χ		
Review and approve final invoice						Х			
Submit final invoice to sponsor							Χ		
Ensure all financial reports have been submitted to sponsor (if required)	Х					Χ	Χ		
Ensure all project progress reports have been submitted to sponsor (if required)	Х	Х	0		Х				
Submit invention, patent, etc. reports to sponsor (if required/applicable)	Х				Х				Χ
Confirm final payment has been received from sponsor							Χ		
Process internal close out of project account						Χ	Χ		
Maintain official project records, per sponsor and CU Record Retention Policy	Х				Х	Χ	Χ		
PI Transfer or departure		SPA*	Dept	College/ Unit	SPS RA	SPS CGA	FS	LA	Other
			Х						
Discuss the plan for transfer/departure and approve	Х		^	X					
Discuss the plan for transfer/departure and approve  Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer	X		^	X	Х	Х			
	-		X	X	Х	Х			
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer	Х			X	Х	Х			
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer Plan the transition for assigned staff, students, and lab facilities	X		Х	X	X	X			
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer  Plan the transition for assigned staff, students, and lab facilities  Turn in and collect lab keys, computers, office equipmet, etc.	X		Х	X	X	Х			X
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer  Plan the transition for assigned staff, students, and lab facilities  Turn in and collect lab keys, computers, office equipmet, etc.  Arrange for a change in PI to another investigator at Chapman for approved studies on human subjects and/or animals,	X X X		Х	X	X	X			X
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer Plan the transition for assigned staff, students, and lab facilities Turn in and collect lab keys, computers, office equipmet, etc.  Arrange for a change in PI to another investigator at Chapman for approved studies on human subjects and/or animals, and make all the necessary arrangments for the transfer or termination of compliance	X X X		Х	X	X	X			
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer Plan the transition for assigned staff, students, and lab facilities Turn in and collect lab keys, computers, office equipmet, etc.  Arrange for a change in PI to another investigator at Chapman for approved studies on human subjects and/or animals, and make all the necessary arrangements for the transfer or termination of compliance  Make all the necessary arrangement for IP matters	X X X X		Х	X					
Notify SPS for the transfer or departure, and discuss the proposal withdrawls and/or award transfer  Plan the transition for assigned staff, students, and lab facilities  Turn in and collect lab keys, computers, office equipmet, etc.  Arrange for a change in PI to another investigator at Chapman for approved studies on human subjects and/or animals, and make all the necessary arrangements for the transfer or termination of compliance  Make all the necessary arrangement for IP matters  Ensure all sponsor requirements have been met for transfer or disposal of equipment	X X X X X		X	X					Х

<sup>\*</sup> For colleges or units without an SPA or similar position, SPS staff will provide assistance to the extent possible.

#### \*\* Blanket POs

Blanket Purchase Orders: (Examples: contracted services, equipment leases and rentals, lab supplies, etc.)

- Purchase Orders are created with designated suppliers for specified dollar amounts (tax and estimated freight are included when applicable).
- Multiple shipments and deliveries are usually expected over a certain period of time.
- Invoices should be forwarded to Accounts Payable for payments.
- Departments must receive their Purchase Orders accordingly.

Note: Requestors/Departments must receive their respective Purchase Orders (in PeopleSoft).