

COI Roles and Responsibilities - RACI Matrix

Last Updated: 2024-01-20

Responsible: People or stakeholders who do the work/task. They must complete the task or objective or make the decision. Several people can be jointly Responsible.

Accountable: Person or stakeholder who is the "owner" of the work. He/she/they must sign off or approve when the task, objective or decision is complete. This person must make sure that responsibilities are assigned in the matrix for all related activities. Success requires that there is only one

Consulted: People or stakeholders who need to give input before the work can be done and signed-off on. These people are "in the loop" and active participants.

Informed: People or stakeholders who need to be kept "in the picture." They need updates on progress or decisions, but they do not need to be formally consulted, nor do they contribute directly to the task or decision.

Activity	Investigator	ODU Secured and Regulated Research Office (SRRO)	ODU Office of Research - AVP for Compliance	ODU Research Foundation - Executive Director	ODU Research Foundation - GCAs	ODU Research Foundation - Controller (Invoicing)	COI Committee (Chair)	Vice President for Research	Supervisor (Dept Head & Dean for Faculty Members)	Provost	Academic Affairs	Office of General Counsel
Training & Compliance												
Required Financial COI Disclosure Training every 4 years (for Investigators)	Responsible		Accountable						Responsible			
Annual COI Disclosure for all Investigators	Responsible	Informed	Accountable									
Check to ensure Investigator's Annual COI Disclosure has been submitted prior to proposal submission to a federal funding agency			Informed	Accountable	Responsible			Informed				
Check to ensure each Investigators Annual COI Disclosure is in good standing once an award has been setup but prior to sending the Notice of Award			Informed	Accountable	Responsible			Informed	Informed			
Check to ensure Investigator's Annual COI Disclosure is in good standing in the ODU Research Portal COI module prior to project invoicing.			Informed	Accountable		Responsible		Informed				
Ensure Subrecipient's relying on University's Policy are compliant with proposal submission and Notice of Award			Informed	Accountable	Responsible			Informed				
Enforcement actions and sanctions for non-compliance with policy or the the approved management plan.	Informed	Consulted	Accountable & Responsible				Consulted		Consulted			Consulted
Annual data reporting summary report			Accountable & Responsible	Responsible				Informed	Informed			
Financial Entities, Foreign Interests, & Outside Activities												
Annual/Updated submissions of COI Disclosures in the COI management system within the ODU Research Portal, including Travel Disclosures as appropriate	Accountable & Responsible											
Review of Financial Entity/Foreign Interest/Outside Activities		Responsible	Accountable & Responsible								Consulted	Consulted
Provide guidance as necessary and/or highlight policy concerns, if any, for supervisor's (department head & dean for Investigators) COC consideration for Investigator's Foreign Outside Activity	Consulted	Accountable & Responsible						Informed	Consulted/ Informed			Consulted
Attest/acknowledge that supervisor (Dept Head and/or Dean) is aware and has approved reported Outside Activity, ensuring reported time and commitment of intellectual energy to ODU/ODU RF resources and University assets, including IP, will not be impacted	Accountable / Responsible		Informed via email						Responsible			
Supervisor approves or denies Outside Commitment	Consulted	Consulted	Consulted						Accountable / Responsible	Consulted	Consulted	Consulted
Upload email pdf acknowledgement of supervisor approval to the Investigator's annual COI disclosure.	Responsible		Accountable									
Recommend COC management plan for Outside Activity	Consulted		Responsible				Accountable & Responsible		Informed			
No conflict determination		Consulted	Accountable & Responsible	Consulted			Consulted					
Financial Conflict of Interest (FCOI) determination	Consulted / Informed		Accountable				Responsible		Informed			Consulted

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Develop conflict management strategy	Consulted / Informed		Accountable / Responsible				Responsible & Approve		Consulted/ Informed		Consulted	Consulted
Implement Management Plan	Responsible	Informed	Accountable & Responsible	Informed	Responsible		Informed	Informed	Responsible	Informed		
Management Plans												
Discuss/Advise and Recommend Mitgigation Strategies/Decision	Consulted		Responsible				Accountable / Responsible	Consulted	Consulted			
Develop/Draft management plan	Consulted / Informed		Accountable / Responsible				Consulted	Consulted	Consulted			
Send/route the management plan to Investigator for review and agreement.	Informed		Accountable				Responsible					
Investigator agrees to abide by and sign management plan	Responsible		Accountable									
Supervisor acknowledges and signs management plan	Informed		Accountable				Informed		Responsible			
Upload management plan to the COI management module within the ODU Research Portal	Informed		Accountable / Responsible		Informed		Informed					
Email to ODU Research Foundation GCA Executive Director and Director of SPA if a FCOI report could not be eliminated/reduced to sponsor is required			Accountable / Responsible	Informed			Informed					
FCOI reports to funding sponsors			Informed	Accountable	Responsible			Informed				
Execute the Management Plan	Accountable								Responsible			
Monitor compliance with Management Plan			Accountable / Responsible				Responsible		Responsible			
Compliance Reviews												
Conduct compliance reviews (e.g., retrospective reviews)	Consulted	Responsible	Accountable & Responsible	Responsible				Informed	Consulted / Informed			
Provide information to Office of Research AVP for Compliance or SRRO, as requested	Accountable & Responsible		Informed						Responsible			
Determine facts	Consulted		Accountable & Responsible				Responsible		Consulted			Consulted
Issue findings & recommendations	Informed		Accountable & Responsible				Responsible	Consulted / Informed	Consulted / Informed			Consulted
Determine which compliance management terms, if any, will be implemented	Consulted / Informed		Accountable & Responsible				Responsible	Consulted	Consulted	Consulted	Consulted	Consulted
Implement compliance management plan	Responsible		Accountable & Responsible				Approve	Informed	Responsible	Informed		