



OFFICE OF RESEARCH
Roles and Responsibilities Matrix

Training Grants

Responsible – Accountable – Supporting – Consulted – Informed

ROLES	
R	Responsible for the correct and thorough completion of the work
A	Accountable for the correct and thorough completion of the work
S	Supports those responsible and/or accountable
C	Consulted as needed in order to complete the task
I	Informed that task is underway/completed

Task	PI	Dept Admin	SRA-Pre	SRA-Sub	SRA-Post	Other
PROPOSAL PREPARATION						
Identifies Funding Opportunity	R/A					S- OPD
Informs Department of Intent to Apply	R/A	I				
Informs SRA of Pending Proposal	A	R	I			
Reviews RFA, Meets with PI to discuss/plan	A	R	C			
Prepare Proposal in RAMP	R/A	S	C			
Develops Proposal Budget	R/A	S	C			
Reviews Proposal	A	R	C			
Submits Proposal to SRA with All Approvals	A	R	I			
Conducts Institutional Review of Proposal and Provides Comments	I/C	I/C	R/A			
Revises Proposal as needed	R/A	S	I			
Notifies SRA of Approval to Submit	R/A	S	I			
Submits Proposal via Sponsor Portal and Provides Submission Status to PI	I	I	R/A			
Submits Proposal via Mail or Email and Provides Submission Status to SRA	R/A	I	I			
Enters Proposal into OMNI and Sends Approved PTF to Dept Admin and PI	I	I	R/A			
PROJECT MANAGEMENT						
If Notice of Award received by PI from Sponsor, forward to SRA and Dept Admin	R/A	I	I			
Receives Notice of Award and Sends Concurrence/Notification Email to PI	I	I	R/A			
Notifies SRA of Concurrence or Concerns	R/A	S	I			
Requests Advance or Pre-award Spending in RAMP, if needed	A	R	C			

Responsible – Accountable – Supporting – Consulted – Informed

Task	PI	Dept Admin	SRA-Pre	SRA-Sub	SRA-Post	Other
Process Advance or Pre-Award Spending Request	I	I	R/A		R/A	
Accept Award	I/C	I	R/A			
Drafts Unfavorable Terms Memo, if needed	I	I	R/A			
Obtains department signatures and returns Unfavorable Terms Memo to SRA	A	R	I			S – OVPR Legal
Prepares a revised budget summary if award funded at a level other than proposed	A	R	I			
Sends project documents to SRA (i.e IRB/IACUC approvals, etc.)	A	R	I			
Set up Award in OMNI			R/A			
Complete Set Up in OMNI (Budget, etc.)					R/A	
Notify PI and Department of OMNI Set up	I	I	I		R/A	
Student Requirements for Department of Education (DOEd) Training Grants						
Collect DOE obligation agreements from students	R/A	I				
Ensure students attend necessary trainings; CITI, responsible conduct of research, etc.	R/A	I				
Obtain DOE exit certifications at time of student's graduation	R/A	I				
Submit Risk Mitigation statement to DOEd	R/A	I	C			
Student Requirements for National Institute of Health (NIH) Training Grants						
Complete and Submit Activation Notice	R/A	I				
Postdoctoral Fellows must Complete and Submit Payback Agreement	R/A	I				
Begin work on project	R/A	I				
Monitors Expenditures	A	R			C	
Completes Monthly Reconciliations	I	A/R			C	
Submits budget amendments as needed	A	R			C/I	
Reviews/Approves budget amendments		C	C		R/A	
Reviews/Approves Transactions as Required		C			R/A	
Reviews/Approves All Transactions	I/C	R/A				
Funds Drawn Down from Sponsor		S			R/A	
DOEd Requirements Only						
For Multi-year Awards, Complete Form 5248B and Submit to SRA for Review	A	R	I		I	
SRA Review and Approve Form			R		C	
Submit Approved Form 5248B in GS	R/A					
NIH Only – Budget Period Closeout						
Send Notification of Budget Period Ending					R/A	
Reconcile Final Budget for Budget Period, Release Encumbrances	A	R				
Completes Final Expenditure Review for Budget Period	C	S			R/A	

Responsible – Accountable – Supporting – Consulted – Informed

Task	PI	Dept Admin	SRA-Pre	SRA-Sub	SRA-Post	Other
Prepare Acknowledgement of Expenditures for Budget Period (AoE)					R/A	
Obtain PI Approval for AoE	R	S			A	
Prepare/Submit Final Financial Report for Budget Period to Sponsor					R/A	
Submit Final Programmatic Report for Budget Period to Sponsor	R/A	S	C			
Request Carry Forward, if applicable	R/A	C	S		C	
Prepare and Submit Interim Programmatic Reports to sponsor as needed	R/A	S	I		C	
Prepare and Submit Interim Financial Reports as required by sponsor					R/A	
Submit annual student data information	R/A	C				
Request Approval for Award Actions from SRA, if needed (NCTE, Advance, Other)	A	R	C/I			
Review and Approve Award Action(s) and/or obtain sponsor approval, if required	I	I	R/A			
Ensure all IRB/IACUC Approvals are in place, if applicable	R/A	S	I			
Process any award amendments and notify PI	I	I	A		R	
CLOSEOUT						
Send Notification of Award Ending					R/A	
Finalize Project Work	R/A	S				
Pre-Closeout Review with PI	C	R/A				
DOEd Only - Ensure all Student Obligation Forms/Exit Certifications are Completed	R/A	I				
NIH Only – Submit Student Termination Notice within 30 days of the Termination Date. Please note this can happen at any Point during the Award Period.	R/A	I		I		
Reconciles Final Budget, Releases Encumbrances	A	R				
Completes Final Expenditure Review	C	S			R/A	
Prepare Acknowledgement of Expenditures					R/A	
Obtain PI approval for Acknowledgement of Expenditures	R	S			A	
Prepare/Submit Final Invoice/Financial Report to Sponsor					R/A	
Submit Final Programmatic Report to Sponsor	R/A	S	C			
Discloses Inventions within two months of discovery	R/A	S				I - OoC
Verify Inventions, Patents, etc.	R	I	I			
Prepare Invention Report	A	S	R			
Sign Invention Report	R	I	S			
Submit Invention Report to Sponsor	A	S	R			
Ensure all funds are received					R/A	
Final closeout in OMNI					R/A	