



**OFFICE OF RESEARCH**  
**Roles and Responsibilities Matrix**

**Publicly Funded Contracts**

**Responsible – Accountable – Supporting – Consulted – Informed**

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

Task	PI	Dept & UBA	SRA-Pre	SRA-Sub	SRA-Post	Other
<b>PROPOSAL PREPARATION</b>						
Identifies Funding Opportunity	R/A					S- ORD
Informs Department of Intent to Apply	R/A	I				
Informs SRA of Pending Proposal	A	R	I			S- ORD
Reviews RFA, Meets with PI to discuss/plan	A/R	R	C			S- ORD
Prepare Proposal in RAMP	R/A	S	C			
Develops Proposal Budget	R/A	S	C			
Reviews Proposal	A	R	C			S- ORD
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			
<b>PROJECT MANAGEMENT</b>						
If draft contract received by PI from Sponsor, forward to SRA and Dept Admin	R/A	I	I			
Receives draft contract 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**

<b>Task</b>	<b>PI</b>	<b>Dept &amp; UBA</b>	<b>SRA-Pre</b>	<b>SRA-Sub</b>	<b>SRA-Post</b>	<b>Other</b>
Process Advance Request	I	I	R/A		R/A	
Negotiates award terms with sponsor	I/C	I	R/A		C	S – SRA Admin & OVPR Legal & Ancillary Reviewers
Drafts Unfavorable Terms Memo, if needed	I	I	R/A			S – OVPR Legal
Obtains department signatures and returns Unfavorable Terms Memo to SRA	A	R	I			
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	
Complete Subaward Request(s), if applicable	R/A	S		I		
Negotiates subaward agreement	S	I		R/A		
Issues subaward	I	I		R/A		
Creates PO for subaward(s)	I	I		R/A		
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				
Invoices sponsors		S			R/A	
Receive subaward invoices, if applicable	I	S		R/A		
Review subaward invoices, resolve any concerns and approve	R/A	S		C		
Prepare and Submit Interim Programmatic Reports to sponsor as needed	R/A	S	I		C	
Small Business Reporting every 6 months, when applicable.					R/A – Helen McCann	
Prepare and Submit Interim Financial Reports as required by sponsor					R/A	
Request Approval for Award Actions from SRA, if needed (NCTE, Advance, Other)	A	R	C/I			
Review and Approve Award Action(s) internally	I	I	R/A			
Request contract amendment from sponsor and negotiate as needed	C	S	R/A			

**R**esponsible – **A**ccountable – **S**upporting – **C**onsulted – **I**nformed

<b>Task</b>	<b>PI</b>	<b>Dept Admin</b>	<b>SRA-Pre</b>	<b>SRA-Sub</b>	<b>SRA-Post</b>	<b>Other</b>
Ensure all IRB/IACUC Approvals are in place, if applicable	R/A	S	I			
Process contract amendments and set up in Omni	I	S	R/A		R/A	
<b>CLOSEOUT</b>						
Send Notification of Award Ending					R/A	
Finalize Project Work	R/A	S				
Pre-Closeout Review with PI	C	R/A				
Provides subaward closeout docs to SRA	A	R		I		
Send request to subs for final reports	R/A	S				
Processes sub closeout	A	S		R		
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	

Last revised on 11/9/2021