University of Houston DOWNTOWN

The Sponsored Program Roles and Responsibilities Matrix is intended to identify the major steps in the life cycle of an award - from proposal to closeout - and assigns primary responsibility for each step to the principal investigator, the department, school or college, or to ORSP. The matrix provides descriptions of the various activites within the life cycle of an award and clearly defines allocation of responsibilities in the process. If you have questions regarding this matrix, please contact ORSP.

P = Primary / S = Secondary	Roles and Responsibilities				
		Local Level			
Activity	ORSP OFFICE	Principal Investigator (PI)	Department Business Administrator (DBA)	College	Comments
PROPOSAL DEVELOPMENT					
Coordination with University Advancement - Gift/Grant assessment	P	S			Director and PI determine the designation
Understanding of grantor proposal rules and guidelines	P	S	S	S	All responsible
Development of the proposal budget content	S	P			Budget decisions made by the PI with school/college input
Budget format and upload	P				PI should play significant role
Composition of the programmatic portion of proposal	S	P			Exclusively PI
Develop other proposal elements - discussion, decision	S	P		S	Decisions made by the PI with school/college input
Prepare proposal elements for submission - format and upload	P	S			DBA and/or PI
Review proposal to ensure college rules are followed	P			P	
Review proposal for institutional assurances; completeness	P		S	P	
Approve proposal on behalf of institution	P				
Make necessary copies of proposal	P	S	S		
Submit proposal to grantor	P				
Update institutional grants management system	P				
PRE-AWARD					
Accept/negotiate award terms and conditions - PRE-AWARD	P	S			
Finalize budgets for awards - PRE-AWARD	P	S			PI must review and approve
Initiate/develop/execute subcontract - PRE-AWARD	P	S			PI must assist
AWARD MANAGEMENT					
Understanding/disseminating of award terms and conditions	P	S	S	S	All partners must be aware of terms and conditions for successful award management
Initialize budgets in PeopleSoft	P				
Process personnel documents to allocate charges	S	S	P		DBA with PI input
Subcontracting activities including:					
Request PO to encumber subcontract			P		
Receive, process subcontract invoices			P		
Approve subcontract invoices and identify problems	S	P	S		PI approves work; DBA approves appropriate charge and communicates issue to PI and ORSP
Close-out subcontract	S	S	P		DBA reports on expenditures
Prepare programmatic/scientific progress reports		P			
Prepare financial progress reports	P				
Monitor budget vs. expenses	S	S	P		DBA monitors using PS/grant budget/monthly reconciliations
Review/Approve expenditure requests	P	P	P		PI and DBA conduct programmatic and financial review/ORSP conducts policy review
Identify need for and request of cost transfer		S	P		PI and DBA identify need for transfer
Approve and process cost transfer	P		S		
Revenue management including:					
Preparation/submission of financial status reports	P	S	S		
Preparation/submission of invoices or periodic billing	P	S	S		
Account receivable follow-up	P	S	S		
Receipt and deposit of checks/fund transfers for ORSP projects	P				
Preparation of letter-of-credit draws					UH Central Campus completes draw
Initiate request for modification, change to grant/contract	S	P			
Process request to sponsor for project modifications/approvals	P	S			
Process Time & Effort Reports	S	S	P		DBA responsibility, currently ORSP processes
Conflict of Interest forms PI & Co-PI	S	P	S		
No-Cost Extension Request	S	P			
CLOSE OUT					
Financial reports/invoices	P	S	S		
Programmatic reports		P			
Intellectual property reports	P	S			
Fixed asset/property reports	P	S			