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 Sponsored Program Administration. 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 Sponsored Program Administration at 577-3726.

Primary / Secondary / Activity	SPA OFFICE	Principal Investigator (PI)	Departmental Administrator (DA)	College	Comments
PRE-AWARD					
Coordination with University Advancement - Gift/Grant assessment	P	S			Central and PI determine the designation
Process gift paperwork	S		P		Paperwork and check/award processed by DA with SPA input
Understanding of grantor proposal rules and guidelines	P	S	S	S	All responsible
Development of the proposal budget content	S	P	P		Budget decisions made by the PI with school/college input
Prepare budget format and upload	S	P	P		PI should play significant role
Composition of the programmatic portion of proposal	S	P	S		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	S	S	P		DA and/or PI
Review proposal to ensure college rules are followed			S	P	
Review proposal for institutional assurances; completeness	P		S	P	
Approve proposal on behalf of institution	P				
Make necessary copies of proposal		S	P		
Submit proposal to grantor	P		S		Follow sponsor's requirements
Forward copy of submitted proposal to SPA		P	P		
Update institutional grants management system	P				
ACCOUNT SET-UP					
Request establishment of a provisional account (PFR)		P	P		PI approves, DA submits
Review and approve/guarantee provisional request				P	
Approve and establish account in response to provisional request	P	S			
Accept/negotiate award terms and conditions	P	S	S	S	
Understanding/disseminating of award terms and conditions	P	S	S	S	All partners must be aware of terms and conditions for successful award management
Establish and amend grants in Banner/Cayuse systems	P				
Finalize budgets for awards	P	S	S		PI must review and approve
Initialize budgets in Banner/Cayuse	P				
ACCOUNT MANAGEMENT					
Process personnel documents to allocate charges	S	S	P		DA with PI input
Subcontracting activities including:					
Initiate/develop/execute subcontract	P	S			PI must assist
Request PO to encumber subcontract	P				
Receive, process subcontract invoices	P				
Approve subcontract invoices and identify problems	S	P	S		PI approves work; DA approves appropriate charge and communicates issue to PI and SPA
Close-out subcontract	P	S	S		DA reports on expenditures
Prepare programmatic/scientific progress reports		P			
Monitor budget vs. expense	S	S	P		DA monitors using Banner, Cognos, etc.
Review expenditure requests		P	S		PI and DA conduct programmatic and financial review
Approve expenditure requests	P				SPA conducts policy review when necessary
Identify need for and request cost transfer		P	S		PI and DA 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 SPA projects	P				
Preparation of letter-of-credit draws	P				
Initiate request for modification, change to grant/contract	S	P	P		
Process request to sponsor for project modifications/approvals	P	S			
CLOSE OUT					
Financial reports/invoices	P	S	S		
Programmatic reports		P			
Intellectual property reports	P	S			
Fixed asset/property reports	P	S			