

Roles and Responsibilities

This is condensed from the [Roles and Responsibilities matrix](#) located on the Office of Contracts and Grants website.

| Key of Acronyms | | |
|---|-------------------------------------|--------------------------------------|
| CCO = Campus Controller's Office | OCG = Office of Contract and Grants | RFS = Research Financial Services |
| DRA = Department Research Administrator | PI = Principal Investigator | RIO = Research and Innovation Office |

| Task/Responsibilities | Responsible Party | | | | Notes |
|--|-------------------|----------------|--------------------------|--------------------|---|
| Pre-award | | | | | |
| Find funding, develop proposal, and submit proposal | PI | DRA support PI | RIO, OCG (Pre-award) | | The PI may work with RIO for funding opportunities. A unit will work with their assigned proposal analyst in OCG for proposal development and submission. |
| Pre-award spending account request | PI | DRA support PI | OCG (Post-award) | RFS (Award set up) | OCG will accept request and RFS will set up account in the finance system. |
| Post-award | | | | | |
| Notice of award, review, negotiation and acceptance | | | OCG (Post-award) | | Review OCG's Contact Us page for the assigned contract/grant officer. |
| New award re-budgeting | PI | DRA support PI | OCG (Post-award) support | | |
| Identify separate projects/budgets if needed | PI | DRA | OCG (Post-award) support | | OCG will identify a need for restrictions that necessitate separate SpeedTypes (restricted supplement, carryforward, participant support, etc.). |
| Prior to award set up obtain needed internal approvals and verify internal approvals are in place | PI | | RIO, OCG (Post-award) | | (e.g., human subjects, export control, cybersecurity, biosafety, IACUC) |
| Set up award in PeopleSoft grants module including main award budget and any subcontracts and/or cost share, and notify PI and DRA when complete with project number and SpeedType | | | | RFS (Award set up) | |
| Subcontracting out - Draft agreement, negotiate terms, review and approve final subcontract document | | | OCG (Subcontracts) | | Review OCG's Contact Us page for the assigned subcontract officer. |
| Create purchase order requisitions (PO Req) in Marketplace for subcontract | | DRA | | | |

| | | | | | |
|---|------------|-----------------|---------------------------------------|--|--|
| Receive, review and approve subcontractor's invoice and authorize payment; resolve any issues with subcontractors; request amendments as necessary; and confirm subcontract work is complete. | PI | DRA support PI | | | Amendment requests should be sent to the assigned subcontract officer in OCG. |
| Overall responsibility for financial and programmatic stewardship of award | PI | | | | |
| Financial award management (see full list of tasks on R&R matrix) | PI | DRA | | RFS (Grant Accounting) | Majority of the tasks are the responsibility of the PI and DRA. RFS (grant accounting) will be supporting role for most tasks. |
| Review programmatic changes to project (scope, schedule, key personnel, effort changes, etc.); provide deliverables as required; request any programmatic changes, no cost extensions (NCEs) or carryforwards to OCG. | PI | DRA support PI | | | |
| Negotiate award changes and prior approval requests (NCE, carryforward, etc.) with sponsor | | | OCG (Post-award) | | |
| Process award changes (mods) and prior approval requests (NCE, carryforward, etc.) in PeopleSoft | | | | RFS (Award set up) | |
| Property management (see full list of tasks on R&R matrix) | PI | DRA | OCG (Post-award; Property) | CCO (Property Accounting) | |
| Financial reporting, confirm billing terms and payment method, invoice sponsors | | DRA support RFS | | RFS (Grant accounting) | |
| Revenue management, accounts receivables, manage checks and payments, collections of overdue payments | PI support | DRA support | | RFS (Grant Accounting; Revenue Management) | Involvement by the PI, DRA and often the chair is dependent on the age of the item and stage of escalation. |
| Deobligation/Relinquishment documentation for sponsor | | DRA support | OCG (Post-award) | RFS (Grant Accounting) support | |
| Non-financial reports: technical, progress, patent/invention | PI | DRA support PI | OCG (Compliance; Closeout) support | | A unit will work with the closeout & deliverables officer in OCG. |
| Certification of time and effort: tracks effort commitments, reports changes, and certifies PI and staff effort | PI | DRA support PI | | | |
| Closeout process (see full list of tasks on R&R matrix) | PI | DRA | OCG (Compliance; Closeout) | RFS (Grant Accounting; Revenue Management; Closeout) | |



| | | | | | |
|---------------|---------------|-------------------|--|---|--|
| Audit process | PI support | DRA support PI | | RFS (Grant Accounting) RFS (Compliance) CCO (Fiscal Compliance) | RFS is the main contact with auditors; PIs and DRAs provide support when needed. |
|---------------|---------------|-------------------|--|---|--|

CCO Contact Page:

<https://www.colorado.edu/controller/contact-us>

OCG Contact Page:

<https://www.colorado.edu/ocg/staff-directory>

RIO Contact Page:

<https://www.colorado.edu/researchinnovation/home/research-innovation-office-directory>