

Roles and Responsibilities Matrix
updated 6/21/2023

Pre-Award Activities						
Preparing to Submit a Proposal- Getting Started	Principal Investigator	Unit/Department	College	OSP	Research Acceleration	Other Resources
Locate funding opportunity	Primary	Assistance			Assistance	
Read and interpret sponsor instructions for proposal preparation	Primary	Assistance				
Ensure individual registration with e-Submission systems as needed	Primary			Assistance*		*OSP handles Institutional registration with systems
Manage restricted (limited submission) funding opportunities			Assistance		Primary	
Determine need for Non-disclosure agreements, Teaming agreements, etc.	Primary			Assistance		
Proposal and Budget Development- Getting it Together	Principal Investigator	Unit/Department	College	OSP	Research Acceleration	Other Resources
Create internal proposal record for review & approvals (KR PD)	Primary*	Assistance*				*Department support varies
Develop technical narrative, biographical information, institutional resources, etc.	Primary	Assistance				
Identify subawardees/collaborators	Primary					
For proposals with subrecipients, collect subrecipient documents (SOW, budget, budget justification, commitment form)	Primary	Assistance				
Initial review of sub commitment form for completion including UEI#, SAM.gov expiration, IACUC or IRB, IDC rate agreement	Assistance	Primary				
For proposals with high-risk subrecipients (foreign entities or small businesses), develop fixed price/deliverable-based budget & SOW	Primary	Assistance				
Ensure required time & effort available by key personnel, if awarded	Primary	Assistance				
Draft budget	Assistance*	Primary*				*PI may have responsibility in some departments
Obtain cost share approval (ICF- Institutional Commitment Form) from appropriate sources	Assistance*	Primary*				*OVPR to approve
Obtain approval for F&A (indirect) cost waiver/reduction	Primary*	Assistance*				*OVPR to approve
Review budget		Primary	Assistance	Assistance		
Complete proposal (portal, forms) as indicated in guidelines	Primary*	Assistance*				*Department support varies

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Pre-Award Activities					
Proposal Review & Approval- Getting it Checked Out	Principal Investigator	Unit/Department	College	OSP	Other Resources
Review proposal package, including cost-share requirements, before OSP review is requested	Assistance	Primary	Assistance		
Provide institutional review and approval of proposal and budget		Assistance	Assistance	Primary	
Review proposed cost sharing commitment for compliance with University policy and sponsor terms			Assistance	Primary	
Review subrecipient's materials and check for their institutional approval(s)		Primary	Assistance	Assistance	
Make revisions and corrections to proposal/budget after institutional review	Primary	Assistance			
Identify export control, international travel, classified information issues, if any	Primary	Assistance			Secure & Global Research (SGR)
Identify IRB- Human Subjects, IACUC-Animal Subjects, and/or IBC-Biosafety approvals needed, if any	Primary	Assistance			Safety and Compliance
Identify and report financial conflict of interest (fCOI), if any as required	Primary				Secure & Global Research (SGR)
Confirm all elements of proposal are final and ready for submission	Primary	Assistance			
Route KR PD record for applicable institutional approvals		Primary	Assistance		
Certify KR PD record	Primary				
Proposal Submissions- Getting it Out the Door	Principal Investigator	Unit/Department	College	OSP	Other Resources
Submission required by authorized organizational representative (AOR)				Primary	
Submission to sponsor after OSP review and approval, if AOR submission not required or allowed	Primary*			Assistance*	*Depends on portal requirements or sponsor guidance
Ensure KR PD record is complete and approved	Assistance	Assistance		Primary	
Post-submission Follow Up- Ensuring All is in Order	Principal Investigator	Unit/Department	College	OSP	Other Resources
Prepare additional sponsor required forms (e.g., JIT- Just in Time)	Primary	Assistance			
Submit additional sponsor-required forms (e.g., JIT- Just in Time)	Assistance	Assistance		Primary	
Prepare/submit revised budgets as requested by sponsor	Assistance	Assistance		Primary	
Request pre-award spending (Advanced Start) account	Primary	Assistance			
Approve/set up pre-award spending account		Assistance*		Primary	*Department/unit approvals needed

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Award Receipt & Negotiations					
Notice of Award, Review, and Acceptance- Getting it in Order	Principal Investigator	Unit/Department	College	OSP	
Review terms and conditions in award notice	Assistance	Assistance		Primary	
Review and negotiate award notice terms and conditons				Primary	
Review and negotiate Master Research and Development Agreement as applicable	Assistance	Assistance		Primary	
Review and negotiate non-standard terms (Intellectual Property, publication,				Primary	
If awarded budget differs from proposed, modify budget/scope of work as needed, and provide to OSP	Primary	Assistance			
Review approved budget, identify is separate project/accounts are needed		Primary		Assistance	
Negotiated/accept award terms and conditions on behalf of the University; sign on behalf of the Board of Governors				Primary	
Upload final award documents to FileHold				Primary	
Provide fully signed copy of award documents to PI & unit/dept for review and records				Primary	
Develop Technology Control Plan and/or IT Security Plan, if needed per terms and conditions	Primary				Secure and Global Research

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Account Setup & Award Administration					
Award Setup- Getting it Setup	Principal Investigator	Unit/Department	College	OSP	Other Resources
Verify protocol approvals (e.g., IRB, IACUC, Export Control, Biosafety)	Assistance	Assistance		Primary	
Enter award and budget data in University systems				Primary	
Assign Project Number				Primary	
Provide Source Cost Sharing Account Information	Assistance	Primary	Assistance		
Set up Cost Sharing Account				Primary	
Request a Work-in-Progress (88) Account for Equipment Fabrication	Assistance	Primary	Assistance	Primary	
Set up Work in Progress (88) Account for Fabricated Equipment				Primary	
Request an Outgoing Subaward to be Initiated	Primary	Assistance			See https://www.research.colostate.edu/osp/subaward/
Initiate an Outgoing Subaward				Primary	
Award Administration- Managing the Project	Principal Investigator	Unit/Department	College	OSP	Other Resources
Conduct the research project and provide oversight and stewardship on all research activities	Primary				
Initiate Materials Transfer Agreements, if needed	Primary	Assistance			
Prepare and finalize Materials Transfer Agreements				Primary	
Review programmatic changes to project	Primary	Assistance			
Coordinate administrative and award term issue resolutions with sponsor				Primary	
Notify OSP of changes to key personnel	Assistance	Primary			
Request change of key personnel from sponsor				Primary	
Identify need for No-Cost Extensions and submit request to OSP	Primary	Assistance			
Review and Submit No-Cost Extension notifications/requests	Assistance			Primary	In some cases, OSP has delegated this authority to the PI
Notify OSP of anticipated award changes (scope, schedule, etc)	Primary	Assistance			
Negotiate award changes (deliverables, schedule, scope)				Primary	
Provide programmatic deliverables as required, on schedule	Primary				
Award Administration- Managing Property	Principal Investigator	Unit/Department	College	OSP	Other Resources
Review and understand sponsor's property terms in the award (<i>Each department should have an individual whose job scope includes property liaison.</i>)	Primary	Assistance			
For fabrications, submit fabrication request form and new chartfield request to Property Accounting Office (PAO)		Primary			
Request prior approval from sponsor for equipment purchases, when required				Primary	
Request purchases in Marketplace and attach all relevant documentation		Primary			Procurement Services
Review and OK cost transfers involving equipment and property expenses				Primary	
Confirm receipt, functionality, and track government titled equipment purchases	Assistance	Primary			Property Management (BFS)
Continually monitor location/functionality of all equipment. Notify department property administrator of any changes. Department will notify appropriate office.	Primary				
Update project records for government titled equipment		Primary			
Conduct annual and closeout inventory of government titled equipment	Primary	Assistance			
Request disposition of government or university titled equipment at closeout	Primary	Assistance			
Prepare and submit property reports to sponsor when needed	Assistance	Assistance		Primary	

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updated 6/21/2023

Award Administration- Certifying Effort	Principal Investigator	Unit/Department	College	OSP	Other Resources
Complete effort reports in a timely manner	Primary	Assistance			Unit administrator provides pre-review in eCRT
Track current and pending effort commitments	Assistance	Primary			
Ensure compliance with effort reporting policy	Primary				
Notify OSP of changes in effort requiring sponsor approval		Primary			
Request sponsor approval if effort changes and must have sponsor approval				Primary	
Understand and comply with sponsor requirements for notifications regarding changes in personnel activity	Primary				
Certify own effort and certifies staff effort or designate someone with a suitable means of verification that the work provided to certify staff	Primary				
Communicates with Project Directors on multidisciplinary/multi-institutional awards to ensure commitment of activity has been met	Primary	Assistance			
Notify department administrators to make accounting adjustments as needed and ensure that minimum mandatory requirements are met	Primary				
Provide notifications of reduction or charges in activity to departmental administrators	Primary				
Award Administration- Non-Financial Reporting	Principal Investigator	Unit/Department	College	OSP	Other Resources
Identify programmatic reporting requirements and due date and prepare for submission	Primary			Assistance	
Annual and final technical report/summary of research; notify OSP of submission	Primary	Assistance			
Quarterly, annual, or final property report	Primary	Assistance			
Identification and description of new technology, patents, inventions	Primary				
Submission of all technology, patent and invention reports	Primary				CSU STRATA
Technology Control Plan reports when required	Primary				Secure & Global Research
Maintain official copies of progress reports	Primary				

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updated 6/21/2023

Financial Management					
Award Administration- Managing Finances	Principal Investigator	Unit/Department	College	OSP	Other Resources
Overall responsibility for financial and programmatic stewardship of award	Primary	Assistance			
Review Notice of Award terms and conditions	Primary				
Review Project Budget and create Spending and Procurement Plan	Primary	Assistance			
Generate requisitions in purchasing systems		Primary			
Prepare revised budget	Primary	Assistance			
Initiate Re-budgeting request with OSP where Sponsor Authorization is required	Assistance	Primary			
Review and submit re-budgeting request to sponsor	Assistance	Assistance		Primary	
Monitor project spend rate	Primary	Assistance			
Inform OSP of anticipation of 75% spend, if sponsor notification is required	Assistance	Primary			
Cost Sharing: Post and Track	Assistance	Primary			
Ensure fulfillment of cost share commitments	Primary				
Request personnel appointment in HR		Primary			
Monitor award expenditures for allowability, allocability and reasonableness throughout Period of Performance	Primary	Assistance			
Ensure proper documentation exists and is retained to support appropriateness of expenditures	Primary	Assistance			
Identify changes to approved Budget that require sponsor approval and notify OSP	Primary	Assistance			
Review deviations in expenditures	Assistance	Primary			
Spot audit expenditures	Assistance	Primary			
Review accuracy of account codes/cost allocations/suspensions		Primary			
Reconcile accounts on a monthly basis		Primary			
Cost transfers: Initiate journal entry and provide supporting documentation for approvals		Primary			
Cost transfers: Review request and approval				Primary	
Provide Justification and any required sponsor forms for request for Carryforward when sponsor approval is required	Assistance	Primary			
Request Carryforward from sponsor				Primary	
Program Income: Identify and ensure posting to appropriate account		Primary			
Program Income: Setup separate account and report to sponsor				Primary	
Monitor and reconcile balances to ensure spending within budget and to prevent overexpenditure		Primary			
Review and Receive subcontractor invoices	Primary	Assistance			
Approve payment of subcontract invoices				Primary	

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Award Administration- Managing Cash	Principal Investigator	Unit/Department	College	OSP	Other Resources
Manage cash (handling of checks, etc.) and deposits of checks				Primary	
Process Letter of Credit drawdown for a specific federal funded agency				Primary	
Record Letter of Credit draw for a specific federal funded agency				Primary	
Monitor and pursue the collections of overdue payments from sponsors	Assistance			Primary	
Refund excess cash back to Sponsor and provide proper documentation				Primary	
Award Administration- Financial Reporting	Principal Investigator	Unit/Department	College	OSP	Other Resources
Identify reporting requirements and due date and prepare for submission	Assistance			Primary	
Provide quarterly, annual, or final financial reports to sponsor				Primary	
Project Closeout					
Project Closeout- Ending it Well	Principal Investigator	Unit/Department	College	OSP	Other Resources
Identify awards ready for closeout	Primary	Assistance		Assistance	
Review autogenerated closeout notices 90 days before project end date	Primary	Assistance			
Ensure expenditures/cost transfers have been posted to correct accounts in a timely manner (all cost transfers approved by OSP)		Primary			
Ensure encumbrances (including subrecipient) have been reviewed/closed		Primary			
Reconcile account to ensure Cost Sharing commitments have been fulfilled		Primary		Assistance	
Review system financial reports for allowable/budgeted expenses and resolve issues	Assistance	Primary		Assistance	
Confirm completion of subrecipients's work and approval of final invoice	Primary				
Ensure receipt of subrecipient's final invoice & closeout of Subaward prior to closeout of Prime award				Primary	
Transmit subrecipient closeout documents (to PI and then Agency's Certification)				Primary	
Ensure final property inventory is complete and accurate	Primary				
Identify any inventions and make disclosure to CSU STRATA/Technology Transfer Office	Primary	Assistance			CSU STRATA
Ensure all inventions/patents have been identified, included on forms and forms	Primary	Assistance			
Ensure that all required award technical reports have been submitted to sponsor, is filed electronically with project documents (in KR PD), and are available for audit	Primary	Assistance			
Verify final financials, final invoice, and payments received; file with project docs				Primary	
Ensure that all Financial Reports have been submitted to sponsor and available for audit				Primary	All financial reports should be provided by OSP
Maintain official financial documents for sponsored projects per Records Retention requirements	All	All	All	All	

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Pre-Award Activities with Outgoing Subawards					
Proposal and Budget Development- Getting it Together	Principal Investigator	Unit/Department	College	OSP	Other Resources
Identify subawardees/collaborators	Primary				
For proposals with subrecipients, collect subrecipient documents (SOW, budget, budget justification, commitment form)	Primary	Assistance			
Initial review of sub commitment form for completion including UEI#, IACUC or IRB, IDC rate agreement	Assistance	Primary			
For proposals with high-risk subrecipients (foreign entities or small businesses), develop fixed price/deliverable-based budget & SOW	Primary	Assistance			
Proposal Review & Approval- Getting it Checked Out	Principal Investigator	Unit/Department	College	OSP	Other Resources
Review subrecipient's materials and check for their institutional approval(s)		Primary	Assistance	Assistance	
Post Award Activities with Outgoing Subawards					
Subcontracting- Getting Others Going	Principal Investigator	Unit/Department	College	OSP	Other Resources
Submit PI Request to Issue form to OSP support team	Primary	Assistance			
Submit Authorization to Issue to Subaward Administrator with required paperwork				Primary	
Log request in KR Subaward Module				Primary	
Draft Subaward Agreement and email to subrecipient				Primary	
Negotiate terms with subrecipient				Primary	
Process partially executed agreement for final signature and return fully executed copy to subrecipient, PI, and department.				Primary	
Email department for requisition number to issue a purchase order				Primary	
Create requisition in KFS		Primary			
Approve requisition request and create purchase order				Primary	
Receive, review and email Subcontractor's Invoice to PI and department for review and approval				Primary	
Review subrecipient invoice and email PI signed approval/rejection to OSP Subaward Invoicing Team	Primary	Assistance			
Communicate invoicing issues with subrecipient and work to resolve, if needed	Assistance	Assistance		Primary	
Submit request for payment of invoice to accounts payable				Primary	
Request amendment to subaward by submitting required paperwork to OSP subaward administrator		Assistance		Primary	
Draft, negotiate and finalize amendments including providing copy of fully executed amendment to subrecipient, PI and department				Primary	
Submit PO change request to subaward invoicing administrator				Primary	
Confirm completion of Subcontractor's work	Primary				
Confirm receipt of Final Invoice, cost share fulfillment & closeout form				Primary	
Collect Subcontractor closeout documents				Primary	
Pay final invoice				Primary	