

Roles and Responsibilities for Federal Contracts

When the Federal Government provides research and development funding to the University under a contract (or via a Subcontract from the Prime Recipient), there are different roles and responsibilities that the Principal Investigator, Departmental Administration, and the Office of Research have in regards to the contract.

The following table summarizes the different roles and responsibilities.

PRINCIPAL INVESTIGATOR (PI)	DEPARTMENT ADMINISTRATION (DA)	OFFICE OF RESEARCH (OR)
<ul style="list-style-type: none"> Develop science and work with DA to complete proposal paperwork. 	<ul style="list-style-type: none"> Interact with OR and PI to complete paperwork for proposals. 	<ul style="list-style-type: none"> Review and endorse proposal submissions.
<ul style="list-style-type: none"> Conduct the work supported by the contract in a professional manner within the time frame proposed and on budget (as well as in compliance with all terms and conditions of contract), including monitoring of Subrecipients. 	<ul style="list-style-type: none"> Interact with OR for submission of internal paperwork. 	<ul style="list-style-type: none"> Negotiate and accept terms and conditions of contract (and modifications).
<ul style="list-style-type: none"> Interact/contact with the government's Contracting Officer's Representative with respect to technical issues related to the contract. 	<ul style="list-style-type: none"> Assist PI with government interaction when not appropriate for OR. 	<ul style="list-style-type: none"> Serve as the primary point of contact for interactions and communications with the government's Contracting Officer and designated representatives with respect to business issues related to the contract.
<ul style="list-style-type: none"> Submit progress and final reports to the government (or DA if OR signature is needed). 	<ul style="list-style-type: none"> Assist PI in preparation of reports, if appropriate, and submit to OR for signature when necessary. 	<ul style="list-style-type: none"> Sign reports as required by government.
<ul style="list-style-type: none"> Follow university and government guidelines regarding use of animal and human subjects research. 	<ul style="list-style-type: none"> Remind PI of compliance items and check current status prior to submitting items to OR. 	<ul style="list-style-type: none"> Ensure that all compliance items are current (including IRB, IACUC, COI, etc.).
<ul style="list-style-type: none"> Report patentable and other commercially valuable findings to the Office of Technology Management in accordance with the University Patent Policy. 	<ul style="list-style-type: none"> Assist PI in preparation of selected post-award matters, such as prior approvals, budget revisions, no-cost extensions, and subcontract/CSAs. 	<ul style="list-style-type: none"> Endorse, submit, and assist with selected post-award matters, such as prior approvals, budget revisions, no-cost extensions, and subcontract/CSA issuance.
<ul style="list-style-type: none"> Interact with other administrative offices, such as Technology Transfer, IRB, and IACUC review boards (as needed and when not appropriate for DA or OR to do so). 	<ul style="list-style-type: none"> Interact with other administrative offices, such as Research/Cost Accounting, Purchasing, and Human Resources (as needed and when not appropriate for OR to do so). 	<ul style="list-style-type: none"> Interact with other administrative offices, such as Research/Cost Accounting, Purchasing, Technology Transfer, Risk Management, and General Counsel, for specialized support matters (as needed).
<ul style="list-style-type: none"> Review monthly accounting of contract. 	<ul style="list-style-type: none"> Submit invoices to Research/Cost Accounting and payment requests to Payment Processing (for Subrecipients). 	<ul style="list-style-type: none"> Serve as Institutional Signatory.
<ul style="list-style-type: none"> Ensure research is conducted safely and in compliance with all state and federal regulations. 		

*Please note that the roles and responsibilities of the Principal Investigator are generated from University of Pittsburgh Policy 11-01-02 (<http://www.bc.pitt.edu/policies/policy/11/11-01-02.html>).

Revision Date – 11/7/12