

## Roles and Responsibilities Matrix for Sponsored Research

Submitting proposals, executing and managing awards, and the conduct of research at NDSU involve many different people and offices. While there may be variations depending on department, college, or the particular proposal, the following matrix outlines who has primary responsibility for each activity.

|   | PI | Dean/<br>Chair | SPA | GCA | Res Dev | Bus Dev |
|---|----|----------------|-----|-----|---------|---------|
| <b>Identifying Funding Opportunities</b>  |    |                |     |     |         |         |
| Search for opportunities/identify collaborators   | X  |                |     |     | X       |         |
| Provide guidance on opportunities   |    | X              | X   |     | X       |         |
| Limited Submissions   | X  |                |     |     | X       |         |
|   |    |                |     |     |         |         |
| <b>Proposal Preparation</b>   |    |                |     |     |         |         |
| Write proposal narrative  | X  |                |     |     |         |         |
| Identify subawardees/contractors and request appropriate documentation  | X  |                |     |     |         |         |
| Develop budget and budget justification and identify cost sharing requirements  | X  |                |     |     |         |         |
| Approve cost sharing requests   | X  | X              | X   |     |         |         |
| Provide guidance/training on proposal preparation   |    | X              | X   |     | X       |         |
| Assist with large, interdisciplinary proposals  |    |                |     |     | X       |         |
| Complete proposal transmittal form and route for approvals  | X  |                |     |     |         |         |
|   |    |                |     |     |         |         |
| <b>Proposal Review, Approval and Submission</b>   |    |                |     |     |         |         |
| Confirm that proposal meets sponsor requirements (page limits, margins, font, etc.)                                       | X  |                |     |     |         |         |
| Review proposal before sending to Sponsored Programs  | X  | X              |     |     |         |         |
| Review budget for compliance with appropriate guidelines  | X  | X              | X   |     |         |         |
| Provide authorized signature  |    |                | X   |     |         |         |
| Proposals required to be submitted with authorized official credentials (Assist, FastLane, Grants.Gov etc.)               |    |                | X   |     |         |         |
| Proposals required to be mailed, hand-delivered, or emailed directly to the sponsor (only after SPA review and signature) | X  |                |     |     |         |         |
|   |    |                |     |     |         |         |
| <b>Advanced Spending (formerly pre-award spending)</b>  |    |                |     |     |         |         |
| Request advanced spending account   | X  |                |     |     |         |         |
| Consider appropriateness and approve advanced spending  |    | X              | X   |     |         |         |
| Establish and monitor advanced spending   |    |                |     | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Award Acceptance (e.g. grant, purchase order, contract, etc.) and Set Up</b>   |    |                |     |     |         |         |
| Complete compliance forms (IRB, IACUC, IBC, COI etc.)   | X  |                |     |     |         |         |
| Confirm all applicable compliance forms have been completed as appropriate  | X  |                | X   |     |         |         |
| Accept sponsor notification of an award   |    |                | X   |     |         |         |
| Review terms and conditions   | X  |                | X   |     |         | X       |
| Review and approve programmatic terms   | X  |                |     |     |         |         |
| Negotiate and approve terms and conditions with sponsor   |    |                | X   |     |         | X       |
| Confirm compliance requirements (IRB, IACUC, etc.) have been met  | X  |                | X   |     |         |         |
| Establish award in Peoplesoft and notify PI of project number and ensure cost sharing is documented (if applicable)       |    |                |     | X   |         |         |

|   | PI | Dean/<br>Chair | SPA | GCA | Res Dev | Bus Dev |
|---|----|----------------|-----|-----|---------|---------|
| <b>Issuance of Subawards</b>  |    |                |     |     |         |         |
| Prepare, negotiate, and execute subawards   |    |                |     |     |         | X       |
| Oversee programmatic aspects of subaward  | X  |                |     |     |         |         |
| Prepare and monitor contracts/vendor purchase orders  | X  |                |     |     |         |         |
| Review and approve subaward invoices  | X  |                |     | X   |         |         |
| Subrecipient monitoring   | X  |                | X   | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Conducting and Managing the Project</b>  |    |                |     |     |         |         |
| Initiate purchases on the project   | X  |                |     |     |         |         |
| Initiate prior approvals for project changes (PI, scope, time extensions, effort, etc.)                         | X  |                |     |     |         |         |
| Review and approve prior approval project changes and forward to sponsor, if necessary                          |    |                | X   |     |         |         |
| Initiate rebudget requests  | X  |                |     |     |         |         |
| Review and approve rebudget requests and forward to sponsor, if necessary                                       |    |                | X   | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Program Income</b>   |    |                |     |     |         |         |
| Identify program income   | X  |                |     | X   |         |         |
| Set up program income account   |    |                |     | X   |         |         |
| Invoice, receive, and deposit and monitor program income  | X  |                |     | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Personnel and Effort Certification</b>   |    |                |     |     |         |         |
| Initiate hiring and appointment process   | X  |                |     |     |         |         |
| Confirm accuracy of effort certification reports  | X  |                |     |     |         |         |
| Maintain effort certification reporting system and resolve problems and follow up on outstanding certifications |    |                |     | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Invoicing and Financial Reporting and Compliance</b>   |    |                |     |     |         |         |
| Review financial reports and oversee expenditures   | X  |                |     | X   |         |         |
| Prepare and submit invoices or financial reports  |    |                |     | X   |         |         |
| Receive and deposit payment from sponsors   |    |                |     | X   |         |         |
| Monitor collections of overdue payments   |    |                |     | X   |         |         |
|   |    |                |     |     |         |         |
| <b>Progress Reports</b>   |    |                |     |     |         |         |
| Prepare progress reports and submit reports that do not require institutional approval                          | X  |                |     |     |         |         |
| Submit reports that require institutional approval  |    |                | X   |     |         |         |
|   |    |                |     |     |         |         |
| <b>Project Closeout</b>   |    |                |     |     |         |         |
| Ensure all expenditures/revenue have posted to account  | X  |                |     | X   |         |         |
| Ensure all financial reports have been submitted to sponsor   |    |                |     | X   |         |         |
| Ensure all technical reports have been submitted to sponsor   | X  |                |     |     |         |         |
| Ensure invention, patent, etc. reports have been submitted to the sponsor                                       |    |                |     | X   |         |         |
| Close project account in Peoplesoft   |    |                |     | X   |         |         |
| Maintain official project documents   | X  |                |     | X   |         |         |