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/ Chair	SPA	GCA	Res Dev	SRI
Identifying Funding Opportunities						
Search for opportunities/identify collaborators	X				X	X
Provide guidance on opportunities		X	X		X	X
Limited Submission Coordination	X				X	
Proposal Preparation						
Prepare proposal documents (narrative, biosketch, summary, etc)	X					
Identify subawardees/contractors and request appropriate documentation	X					
Develop budget and budget justification and identify cost sharing requirements	X					
Provide guidance/training on proposal preparation		X	X		X	
Assist with large, interdisciplinary proposals					X	X
Create proposal in Novelution and route for approvals	X					
Complete any required CITI trainings	X					
Proposal Review, Approval and Submission						
Confirm that proposal meets sponsor requirements (page limits, margins, font, etc.)	X					
Review proposal through Novelution routing process	X	X				
Review budget for compliance with appropriate guidelines	X	X	X			
Review and approve cost sharing	X	X	X			
Provide authorized signature			X			
Proposals required to be submitted with authorized official credentials (Assist, Research.gov, Grants.Gov etc.)			X			
Proposals required to be mailed, hand-delivered, or emailed directly to the sponsor (only after SPA review and signature)	X					
Advanced Spending and Pre-Award Spending						
Request advanced or pre-award spending account	X					
Consider appropriateness and approve advanced/pre-award spending		X	X			
Set up and monitor advanced/pre-award spending				X		
Award Acceptance (e.g. grant, purchase order, contract, etc.) and Set Up						
Initiate compliance protocol in Novelution (IRB, IACUC, IBC)	X					
Complete any required CITI training and COI disclosures	X					
Accept sponsor notification of an award			X			
Review terms and conditions	X		X			
Review and approve programmatic terms	X					
Negotiate and approve terms and conditions with sponsor			X			
Confirm with RISC team that compliance requirements have been met	X		X			
Set up award in Novelution (SPA) and generate PeopleSoft award number and provide to PI (GCA)			X	X		
Issuance of Subawards						
Prepare, negotiate, and execute subaward agreements			X	X		
Oversee programmatic aspects of subaward	X					
Prepare and monitor contracted service agreements and vendor purchase orders	X					

	PI*	Dean/Chair	SPA	GCA	Res Dev	SRI
Review and approve subaward invoices	X			X		
Subrecipient monitoring	X			X		
Conducting and Managing the Project						
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		
Program Income						
Identify program income	X			X		
Set up program income account				X		
Invoice, receive, and deposit and monitor program income	X			X		
Personnel and Project Certification						
Initiate hiring and appointment process	X					
Review and certify accuracy of project certification reports	X					
Maintain project certification reporting system and resolve problems and follow up on outstanding certifications				X		
Invoicing and Financial Reporting and Compliance						
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		
Progress Reports						
Prepare and submit progress reports that do not require institutional approval	X					
Submit reports that require institutional approval			X			
Project Closeout						
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 record in Peoplesoft and Novelution				X		
Maintain official project documents	X		X	X		

* Dept support may be available for PI tasks

SPA - Sponsored Programs Administration
GCA - Grant & Contract Accounting
Res Dev - Research Development
SRI - Strategic Research Initiatives
RISC - Research Integrity, Security, and Compliance