

**University of North Dakota
Research Administration Roles and Responsibility Matrix**

P - Primary Responsibility (owner) S - Secondary Responsibility (contributor/provides major assistance)		PI	College Dean, Dept Chair, Center Director	College/ Dept/ Center Admins	Grants & Contracts Admin	Res. Dev.	Res. Compl.	Int. Prop.	Other (Identify)
PROPOSAL DEVELOPMENT									
1	Identify funding opportunities.	P	S	EERC-S		S			
2	Identify and contact Capital Projects and Planning if any of the proposal funding will be used for new building construction, renovations or building additions with anticipated costs > 100,000.	P	S	EERC-P					
3	Obtain chancellor approval if needed.								P-Director of Capital Projects and Planning
4	Provide RFP or program info to G&CA and dept admin.	P							
5	Determine that the PI is eligible	S		EERC-P		P			
6	Review program announcements and guidelines.	P	S	S	S	S			
7	Communicate with sponsors regarding research priorities and scientific interests.	P	EERC-P Other-S			S			
8	Communicate with sponsor regarding administrative and financial issues.	S	EERC-P	S	P	S			
9	Provide access to sponsor's grant systems (Fastlane, Grants.gov, etc.).	S				P			
10	Identify and coordinate limited submission proposals.		EERC-P			P			
11	Write and edit research plan.	P		EERC-P (edit/review)					
12	Secure preliminary peer review of draft research plan as needed.	P							
13	Identify subawards and consultants; gather supporting documentation such as scope of work, budget, and statement of intent to contract.	P		S					
14	Prepare proposal budget and budget justification.	P		S					
15	Review salary cap requirements as needed	P	S	S EERC-P					
16	Identify amount and source(s) of funds for any proposed cost sharing; secure written commitment(s).	P	S	S					

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		17	Obtain letters of support when appropriate.	P					
18	Collect and prepare biosketches.	P		S					
19	Collect and prepare other support pages.	P		S					
20	Collect and prepare facilities and resource information.	P	S			S			
21	Compile proposal documents for submission (whether electronic or paper).	P		S					
22	Prepare MOU for F&A allocation (if multiple dept.).	P							
PROPOSAL REVIEW, APPROVAL, AND PROCESSING									
1	Confirm that any cost sharing commitments are approved and documented		P		S				
2	Obtain necessary approvals (signatures on routing sheet, etc.) at college/department level	P		EERC-P					
3	Review and approve proposal at college/department level		P	S					
4	Submit to GCA for review and approval (EERC - submit for signature process)	P		S SMHS-P					
5	Review, sign, and forward final proposal for institutional approval			EERC-P	P				
6	Provide institutional signatures on all proposals		EERC-P			P			
7	Provide approved electronic files to RD&C for submission	P	P	EERC-P S					
8	Submit approved copy of proposal to sponsor	S		EERC-P		P			
9	Institutional submission of electronic file to sponsor when required.	S		EERC-P		P			
10	Forward any email response regarding proposal submission to PI			EERC-P		P			
PROTOCOL REVIEW, APPROVAL, AND MONITORING									
1	Prepare human/animal/biosafety protocol application as needed depending on scope of work	P					S		

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2	Review and approve protocol (original and subsequent modifications)	S					P		
3	Obtain protocol approval prior to initiating research	P							
4	Receive approval for any modifications to original protocol prior to implementing change	P					S		
5	Maintain an active protocol by complying with requirements for periodic review and renewal	P					S		
6	Ensure that all subawards and subcontracts have appropriate protocols in place	P			S				
7	Request closeout of protocol when appropriate	P					S		
	AWARD NEGOTIATION, ACCEPTANCE, AND SET-UP								
1	Initiate preaward spending request if necessary	P		S					
2	Request preaward setup as necessary	S	P						
3	Setup preaward project	P			P				
4	Notify GCA when an award is received.	P		EERC-P		P			
5	Notify the PI via email when an award is under negotiation. Request new scope of work and budget when necessary.	P		EERC-P	P				
6	Submit new scope of work and budget to GCA as requested.	P		EERC-S					
7	Prepare documentation/response when sponsor requests additional information (e.g. NIH Just-In-Time requests)	P		EERC-P	S	S			
8	Review, modify and negotiate changes to the proposed budget or proposed scope of work if sponsor requests revisions or offers reduced funding	P		EERC-P	S	S			
9	Negotiate terms and conditions of award	S		EERC-P	P				S-General Counsel

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10	Identify and ensure other award issues (export control, IP, publication restrictions, IRB, etc.) are resolved by other departments.	S		EERC-P	P	S	S	S	
11	Execute award documents (by authorized institutional signatory only)			EERC-P	S	P		S	
12	Enter award, cost share budgets, and effort cost share in system				P				
13	Prepare cover letter with key award information such as start/end date, reporting dates, salary cap requirements, other notable exceptions or restrictions; distribute award documents and cover letter to PI and administrative staff			EERC-P	P				
14	Initiate award transfers with other institutions	P							
14	Facilitate and arrange award transfers with other institutions	S	S	S	P				
15	Review and setup cost sharing commitments	S		S	P				
16	Begin preliminary work to establish subawards and subcontracts	S		EERC-P	P				
	FINANCIAL AND ADMINISTRATIVE MANAGEMENT OF AWARDS								
1	Establish subawards, subcontracts and consultant agreements	S		EERC-P S	P				
2	Appoint personnel, ensuring that proper time and effort are allocated to project	P	S	S					
3	Review amounts in excess of any salary cap requirement and make adjustments as appropriate.	P	S	EERC-P S					
4	Ensure expenses are allowable and allocable	P		EERC-P S	S				Pur-S Acct-S
5	Arrange travel, including preapproval, Fly America and travel vouchers	P		EERC-P S	S				
6	Initiate request, prepare required documents, and obtain approval as necessary for purchases	P		S	S				Pur-S
7	Process bids, quotes, sole source, and other approvals as necessary.	S							Pur-P

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8	Confirm receipt of goods/services and approve invoices/payment document	P		S	S				Pur-S Acct-S
9	Pay invoices								Acct-P
10	Monitor purchase order encumbrances	P		EERC-P S					
11	Monitor spending, anticipate and manage overruns and residuals, unallowable expenses.	P		S	S				
12	Notify G&C regarding milestones/tasks completion as required in payment terms.	P		EERC-S					
13	Notify PI of non-payment by sponsor in accordance to payment terms			EERC-S	P				
14	Manage accounts receivable, including billing sponsor, collections and necessary legal action			EERC-S	P				General Counsel - S
15	Establish, document, and monitor any required cost sharing	P		S	S				
16	Manage program income.	P		S	S				
17	Adjust budget due to program income.	S		S	P				
18	Manage property, equipment, and equipment fabrication	P		S					Asset Mgt-S
19	Equipment reporting to the sponsor.	S		S	P				Asset Mgt-S
20	Prepare and submit financial reports to sponsor	S		S	P				
21	Rebudget as necessary, seeking approval from sponsor as needed	P		S	S	S			
22	Seek no-cost extensions and carry-forward approval as needed	P		S	S	S			
23	Request formal no-cost extension or carry-forward approval from sponsor.			EERC-P		P			
24	Provide adequate admin. support for PI (including HR, payroll, purchasing, asset mgmt)		P						P-President's Office
	SCIENTIFIC/PROGRAM MANAGEMENT OF AWARDS								
1	Conduct research, monitor and record results	P							
2	Select, train, and direct work of technical staff and students	P	S				S		

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3	Author publications and disseminate research results in compliance with any sponsor requirements (e.g. PubMed Central)	P							
4	Ensure research deliverables are met	P	S	EERC-S					
5	Prepare and submit technical/progress reports to sponsor or appropriate University office for official submission.	P	S	EERC-S	S				
6	Submit electronic reports as required					P			
7	Disclose inventions	P							
8	Manage patents, royalties, and invention disclosures in accordance with University IP policy			EERC-P				P	
9	Discuss material transfer and/or confidential disclosure agreements, and correspond with appropriate University Office.	P		EERC-S					
10	Negotiate material transfer agreements and/or confidential disclosure agreements as needed			EERC-P	S			P	
11	Disclose to appropriate University Office any agreement signed outside of review of applicable office	P							
12	Comply with biosafety and environmental health and safety regulations in accordance with University policy	P	S	S			S		Safety-S
13	Follow protocols and modify as needed (including human subjects, care and use of animals, and reporting of adverse events)	P							
AWARD CLOSE-OUT									
1	Notify PI of project end date and closeout procedures			EERC-P	P				
2	Notify and/or reassign personnel; terminate and adjust personnel appointments to reflect project end date	P		S					
3	Closeout purchase orders and release non-personnel commitments	P		S					
4	Closeout subawards	P		S	S				

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5	Manage overruns and residuals	P		S	S				
6	Disclose final inventions	P							
7	Manage property and equipment	P		S	S				AssetMgt-S
8	Ensure that cost sharing requirements were met	P		S	S				
9	Examine project financials; prepare final fiscal report and final invoice	S			P				
10	Prepare and submit final technical report	P				S			
11	Retain and archive scientific records pursuant to retention policies	S	P	EERC-S			S		
12	Retain and archive financial records pursuant to retention policies								P-HR, Facilities, Acctg, Purchasing
13	Retain the award documents pursuant to retention policies.				P				
GENERAL RESEARCH ADMINISTRATION AND COMPLIANCE									
1	Complete annual conflict of interest disclosure	P							
2	Approve annual conflict of interest disclosure		P						
3	Develop and implement conflict of interest management plan	S	P						
4	Ensure that actual and potential conflicts of interest are properly managed	S	S			P			
5	Retain annual conflict of interest disclosure			EERC-S		P			
6	Maintain electronic sponsored research administration tools					P			
7	Comply with other Federal financial reporting requirements (e.g. tax reporting on vendors, MBWE reporting on purchasing activities)								P-Acctg, Purchasing
8	Coordinate response to sponsor initiated financial audits	S		S	P				S-appropriate dept as identified by audit
9	Coordinate response to research compliance audits	S		EERC-S			P		
10	Comply with security, classified information, and export controls (ITAR)	P	S	EERC-S					
11	Provide continuing education and training				P	P	P	P	

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12	Document and negotiate F&A rates and fringe benefit rates								P-VPFO, Budget
13	Review and approve cost center rates								P-Budget
14	Sign Personnel Activity Confirmation reports on a semester basis	P	S						P-individual
15	Manage effort reporting system and ensure effort reporting compliance			S	P				
16	Coordinate response to Freedom of Information requests/open records								P-General Counsel
17	Report any observed or suspected scientific misconduct or fraud	P	P	P	P	P	P	P	P

ROLES AND RESPONSIBILITIES MATRIX - DEFINITIONS

Principal Investigator (PI): Persons who meet the University qualifications to serve as principal investigator; has primary responsibility for the design and conduct of research projects and coordinates research activities with department staff and the Division of Research and Economic Development (RED).

College Dean, Department Chair, Center Director: A University official, typically a faculty member, having managerial, fiscal, and/or academic responsibilities for the oversight of research activities within a college, department, or center.

College, Department, Center Administrators: Other personnel having managerial, fiscal, and/or academic responsibilities for oversight of research activities within the college, department, or center.

Grants & Contracts Administration (GCA): Acts as the interface between faculty and sponsors. GCA staff ensure that proposals, budgets, contracts, and projects comply with federal regulations, sponsor guidelines, Research Development and Compliance (RD&C) processes and procedures, and University policy.

Research Development : RD&C Office is responsible for Program Development, Proposal Development, Faculty Assistance, Internal Awards, and Export Control.

Research Compliance: Compliance committees such as Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee, Institutional Review Board (IRB), Conflict of Interest/Scientific Misconduct Committee, and Radiation Safety and Hazardous Materials Committee (RSHMC) report to the Research Development & Compliance office.

Intellectual Property Commercialization & Economic Development (IPCED): Office responsible for the protection and commercialization of University research innovations.

Other: Accounting Services, Purchasing, Budget Office: University offices including payment processing, expense transfer review, personnel expenditure processing, purchasing, federal facility and administrative (indirect) rate development and negotiation, and the Associate Deans for Research Committee.