Baylor University - Research Roles and Responsibilities Matrix

Responsibility Definitions:

Primary (P) - Responsible for completing a task or accountable to ensure task is complete

Support (S) - Provide support responsibility for task execution to the Primary role as delegated. Primary retains ultimate responsibility for proper completion

Input/Information (I) - Receives information on process actions. Provides input to those taking action

Role	PI	Unit Business Officer	Pre-Award URA	Post-Award URA	Pre-Award	Post-Award	Research Compliance	Data Analytics and Planning	Research IT	Research Development	Technology Commercialization and Industry Engagement	Controller's Office	General Counsel	Corporate and Foundation Relations	Other
ward Modifications/Maintenance															
ward modifications are initiated through Pre-Award (both sponsor-i	ntintad and th	hraugh CARAL	M/hon so hude	otina carri fo		Cost Futonsian (NC	C) has been identif	ind the UDA team	. (Dro or Doct. or	mated) is reco	saible for initiating the year.		ilaa laais fo	am the DL Dre Aven	rd aubaaita aa
nodifications to the sponsors, coordinates any prior approvals, and d									i (Fie di Fost, us	noteu) is respoi	isible for illitiating the requ	iest unu receiv	ning input ji	om the Fi. Fre-Awa	iu subiliits uli
Initiate modification request, including budget detail and					,										
supporting documentation, for Revision/Supplement, Re-															
budget, Continuation, Carryover into continuation year, NGA	1	l l	P												
Revision (if received by PI directly), or Sponsor Change															
Initiate modification request, including budget detail and															
supporting documentation, for No Cost Extension (NCE),															
2 Carryover into NCE period, Early Termination, Personnel	1			P											
Change, or Other Change															
Initiate modifications without request if modification is															
received from sponsor.					P										
4 Review and approve award modifications					P										
5 Approves and submits mod request to sponsor, as necessary					Р										
6 Receives sponsor approvals and processes in CARA					Р										
7 Processes award modifications in CARA and Ignite						Р									
Fechnical and Programmatic Reporting															
The PI is responsible for preparing technical and programmatic report	tina and is ulti	imately respor	sible for verify	ina that report	s have been co	ompleted. Post-Awa	rd tracks technical	report submission	ns in CARA.						
1 Prepare Invention statement	Р		,,,,			, , , , , , , , , , , , , , , , , , ,					S				
2 Submit Invention statement	i					Р									
3 Review programmatic report requirements	Р					S									
4 Prepare programmatic report	P					S									
5 Submit programmatic report	Р				S*										
6 Record submission of programmatic report	ı	I				Р									
Financial Reporting															
mancial Reporting															
	ne completen	ess and accura	ıcy. Post-Award	d signs financia	l reports and s	submits to the spons	sor.								
	ne completen	ess and accura	cy. Post-Award	d signs financia	l reports and s	submits to the spons	sor.								
1 Prepare financial reports based on sponsor requirements	ne completen	ess and accura	icy. Post-Award	d signs financia	I reports and s	Р	sor.								
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6	Reconcile banking/clearing for sponsored programs						Р						S			
	Apply payments to AR balances in the financial system						P						3			
	Deposit checks from sponsors						P									
	Continuously monitor outstanding AR, especially aged															
9	receivable balances						Р						I			
10	Inform Controller's Office of A/R at risk and write-offs						Р						- 1			
Acco	ount Closeout															
Post	-Award is responsible for notifying URAs prospectively when an pi	roject is due f	or closeout. Po	st URA prepares t	the closeout	workbook an	d Post-Award review	vs and completes. T	The PI prepares	any other progra	mmatic docume	ntation needed for closeout	which is subn	nitted by Po	st-Award. Post-Awa	ard performs the
finai	ncial close in the system.															
1	Notify the URA of project that is due for closeout				1		Р									
	Prepare closeout workbook	1			P											
	Review closeout workbook for accuracy and exclusion of						Р									
3	unallowable expenses and complete				S		Р									
4	Conduct final account review	I	I		S		Р									
6	Prepare additional documentation for closeout (i.e., invention	S					Р									
	statements, etc.)						•									
7	Submit additional programmatic documentation for closeout (property/invention statements)	1					Р									
8	Close the project in CARA and Ignite						Р									
9	Return remaining funds / transfer balance /etc. SP fund to be						Р						S			
	at zero.						·						,			
	ncial Compliance															
	-Award monitors the projects for overspending, with support from	n Post URA. U	IRAs work with	PI, and Business		eded, to prepo		umentation. The C	ontroller's Office	occasionally sa	mples and reviev	vs cost transfers for complic	ince.			
	Monitor sponsored programs for overspending	<u> </u>			S P		Р									
	Prepare documentation and justification for cost transfers Review/approve cost transfer requests	ı	I		I		Р									
	Review a sample of cost transfers to determine compliance				ı		r						D			
	Conduct periodic internal audits of direct charges / cost															
5	transfers												Р			
Subi	recipient Monitoring															
Pre-	Award is responsible for identifying subrecipient risk using risk ma	itrix. Pre-Awa	rd prepares th	e agreement and	completes C	PA once fully	executed. Post URA	submits a subreci	niant requirition	request Bost I	RA annroves inv	nices greater than \$10,000	for navment i	with innut fi	om the PL Post-Awa	ard monitors
suhr								Subititis a subi ecij	vierit requisition	request. Post o	nn approves mv	oices greater than \$10,000	joi puyillelit i	vicii iiipac ji	om the min ost Awa	
	ecipient activity in the project. The URA is responsible for address															
	recipient activity in the project. The URA is responsible for address: • be consulted when there is a need for a corrective action plan or															
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3	Review allocations for compliance and submit personnel distributions	I	ı		Р											
	Validate accuracy of personnel costs during financial reconciliation	I	ı		Р		S									
5	Notify PI of upcoming Effort Certification	I	I		S		P									
6	Complete effort reporting requirements	Р			S											
7	Track current and pending effort commitments	ı	S		Р		S									
8	Collect and maintain official records of effort reporting						Р									
	Monitor compliance with effort reporting policy				S		Р									
Audi																
	Controller's Office is responsible for corresponding with any exte	rnal entity reg	arding an aud	lit by preparing	a response, fo	llowing-up on	corrective actions.	Post-Award is respo	onsible for interf	acing during desk	reviews. Resea	rch Compliance is responsib	le for coordin	ating site vi	sits.	
	Receive notice of audit and notify internal parties	ı			I	I	I						P			
	Correspond with external entity regarding audit						S						P			
	Prepare Audit response						S						P			
	Follow-up on corrective actions						S						Р			
	Interface for external agency review	I					S						P			
	Interface for desk reviews	ı					S						Р			
/	Coordinate site visits with regulatory officials (DHHS, OIG, OHRP, FDA)	I					S	Р								
Com	mercialization and Industry Engagement															
	mercialization and Industry Engagement is responsible for assist	ing with spons	ored agreeme	ents with indus	ry, and non-sp	onsored agree	ements. This include	es reviewing and rep	porting royalties	and IP activity a	nd developing bu					
	Develop relationships with industry and federal agencies.											P				
	Develop and/or assist with sponsored agreements with															
	industry, non-sponsored agreements, and federal agency engagement			S		P*		P*				I				
2	Lab to Market Commercialization (Industry Engagement)											P				
	Review and report patent and IP activity											P	I*			
4	Report Inventions to sponsors as required						Р					I				
5	Manage royalties and IP payments											P				
	Develop industry and business relationships											P*			P*	
	and and Orangianal Budget															
	arch and Operational Budget															
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5 Identify and manage bug/enhancement requests									Р						
6 Work with IT / vendor to prioritize requests									P						
7 Work with IT / vendor to implement bug fixes/enhancements									Р						
8 Update training materials/guides					S	S	S		p*	P*					
9 Communicate and train the research community					S	S	S		P*	P*					
Other Activities															
The Post URA is responsible for supporting hiring non-students, tuition	stipends, pro	cessina labor	distributions. in	ncludina salarv	buv-outs and	summer salarv. Pre	e-Award is responsi	ble for reviewina	risk for foreian s	sponsors.					
1 Manages visiting scholars process	,,	, , , , ,	,	,	,	,	Р		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,						Р
2 Process summer salary		S		P*											
3 Visual Compliance process					Р	I	Р		S			- 1	- 1		
Procurement Functions															
The PI is responsible for identifying research supplies/equipment that i institutional policies, approve based on allowability, allocability, and re											. The Post URA reviews the	research requi	sitions daily	to ensure they are	compliant with
Identify research supplies/equipment for purchase ("shops") via the procurement portal (catalog and non-catalog)	Р	S													
2 Conduct review and approve or disapprove based on institutional procurement policies	1	Р		S											Р
3 Submit approved requisitions															Р
Conduct daily review of all submitted research requisitions based on institutional policies for project-funded purchases	I			Р											
Approve or disapprove research requisitions based on allowability, allocability, and reasonableness, also considering available budget and award terms and conditions	I	S		Р											
6 Conduct post-audit review of research-related purchases through monthly reconciliation processes	I			Р											
7 Identify cost transfers or adjustments as identified through monthly reconciliation process and initiate correction	1			Р		S									
8 Expense Reports		Р		S											
Confirm requisitions have been approved, processed, and allocated appropriately				Р											
HR Functions															
The Post URA and PI meet monthly and determine whether there is a r	need for perso	onnel changes	on an award. T	The Post URA to	hen reviews a	nd approves based	on allowability, allo	cability, and reas	onableness, also	considering the	e available budget and awa	rd terms and	conditions.		
Based on monthly PI meetings, identify need for personnel changes (e.g. payroll allocations, Post-Doc hiring, etc.) and provide relevant support to inform decision to initiate request	Р	S		S											
Review and approve required personnel changes based on															
allowability, allocability, and reasonableness, also considering available budget and award terms and conditions	1	I		Р											
3 Prepare Labor Distribution requests and route to LD Team				P											
4 Complete data entry in Ignite															Р
Conduct review of personnel requests and approve or disapprove				I											
Confirm changes have been approved and processed in the	ı	S		P											
system Faculty Funds															
The Business Officer is responsible for allocating faculty funds from the	e unit to dena	rtments or Pl	The Post URA	may assists th	e PI in determ	ining where these t	funds are appropria	te for use.							
Allocate faculty funds from unit to individual departments and PIs	- sinc to acpu	P P		63 6351313 111	determ	gcrc tricse j	ате арргорна	,							Р
Based on monthly PI meetings, review all account activity and identify need for use of faculty funds (e.g. F&A rev share, startups) when sponsored accounts are not appropriate	S	I		Р											