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
Award Modifications/Maintenance															
Award modifications are initiated through Pre-Award (both sponsor-intiated and through CARA). When re-budgeting, carry-forward, or a No Cost Extension (NCE) has been identified, the URA team (Pre or Post, as noted) is responsible for initiating the request and receiving input from the PI. Pre-Award submits any modifications to the sponsors, coordinates any prior approvals, and documents approval in CARA. Post-Award approves the requests and updates the budget or date information in Ignite.															
1 Initiate modification request, including budget detail and supporting documentation, for Revision/Supplement, Re-budget, Continuation, Carryover into continuation year, NGA Revision (if received by PI directly), or Sponsor Change	I	I	P												
2 Initiate modification request, including budget detail and supporting documentation, for No Cost Extension (NCE), Carryover into NCE period, Early Termination, Personnel Change, or Other Change	I			P											
3 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					P										
6 Receives sponsor approvals and processes in CARA					P										
7 Processes award modifications in CARA and Ignite						P									
Technical and Programmatic Reporting															
The PI is responsible for preparing technical and programmatic reporting and is ultimately responsible for verifying that reports have been completed. Post-Award tracks technical report submissions in CARA.															
1 Prepare Invention statement	P										S				
2 Submit Invention statement	I					P									
3 Review programmatic report requirements	P					S									
4 Prepare programmatic report	P					S									
5 Submit programmatic report	P				S*										
6 Record submission of programmatic report	I	I				P									
Financial Reporting															
Financial reports are prepared and reviewed by Post-Award to examine completeness and accuracy. Post-Award signs financial reports and submits to the sponsor.															
1 Prepare financial reports based on sponsor requirements						P									
2 Review interim financial reports for completeness and accuracy						P									
3 Review final financial reports for completeness and accuracy						P									
4 Sign financial reports as Institutional Official						P									
5 Submit financial reports to sponsor					S*	P								P*	
6 Retain a copy of financial reports for institutional record						P									
Invoicing															
*Post-Award is responsible for preparing invoices, reviewing invoices, submitting to sponsors, and creating AR items. *URA supports milestone invoices with information from the PI or Unit.*															
1 Prepare invoices based on sponsor requirements	I*			S*		P									
2 Review interim invoices for completeness and accuracy						P									
3 Review final invoices for completeness and accuracy						P									
4 Sign invoices as Institutional Official						P									
5 Submit invoices to the sponsor for payment						P									
6 Retain a copy of invoices for institutional record						P									
7 Create corresponding AR item						P									
Cash Management															
Post-Award is responsible for LOC draws, except Dept of Education G5 which is managed by the Controller's Office. Post-Award manages the quarterly cash reports and collects and applies all invoice payments for AR. Post-Award monitors the aged AR and escalates if amounts are at risk.															
1 Conduct the LOC draw for all sponsored programs (except DOEd G5)						P									
2 Conduct the LOC draw for Dept of Education G5 (sponsored and non-sponsored)												P			
3 Complete the federal quarterly cash reports						P									
4 Manage/collect invoice payments for Accounts Receivable						P									
5 Manage banking/clearing for sponsored programs						P									

#	Activity	1	2	3	4	5	6	7
6	Reconcile banking/clearing for sponsored programs					P	S	
7	Apply payments to AR balances in the financial system					P		
8	Deposit checks from sponsors					P		
9	Continuously monitor outstanding AR, especially aged receivable balances					P	I	
10	Inform Controller's Office of A/R at risk and write-offs					P	I	

Account Closeout

Post-Award is responsible for notifying URAs prospectively when an project is due for closeout. Post URA prepares the closeout workbook and Post-Award reviews and completes. The PI prepares any other programmatic documentation needed for closeout which is submitted by Post-Award. Post-Award performs the financial close in the system.

#	Activity	1	2	3	4	5	6	7
1	Notify the URA of project that is due for closeout			I		P		
2	Prepare closeout workbook	I		P				
3	Review closeout workbook for accuracy and exclusion of unallowable expenses and complete			S		P		
4	Conduct final account review	I	I	S		P		
6	Prepare additional documentation for closeout (i.e., invention statements, etc.)	S				P		
7	Submit additional programmatic documentation for closeout (property/invention statements)	I				P		
8	Close the project in CARA and Ignite					P		
9	Return remaining funds / transfer balance /etc. SP fund to be at zero.					P	S	

Financial Compliance

Post-Award monitors the projects for overspending, with support from Post URA. URAs work with PI, and Business Officer if needed, to prepare cost transfer documentation. The Controller's Office occasionally samples and reviews cost transfers for compliance.

#	Activity	1	2	3	4	5	6	7
1	Monitor sponsored programs for overspending	I		S		P		
2	Prepare documentation and justification for cost transfers	I	I	P				
3	Review/approve cost transfer requests			I		P		
4	Review a sample of cost transfers to determine compliance						P	
5	Conduct periodic internal audits of direct charges / cost transfers						P	

Subrecipient Monitoring

Pre-Award is responsible for identifying subrecipient risk using risk matrix. Pre-Award prepares the agreement and completes CPA once fully executed. Post URA submits a subrecipient requisition request. Post URA approves invoices greater than $10,000 for payment with input from the PI. Post-Award monitors subrecipient activity in the project. The URA is responsible for addressing any questions from the subrecipient regarding invoices. The PI is responsible for evaluating and verifying that all programmatic goals are achieved by the subrecipient. The URA reports performance issues to Pre-Award to escalate. Internal audit may be consulted when there is a need for a corrective action plan or an audit of high-risk subrecipients.

#	Activity	1	2	3	4	5	6	7
1	Pre-qualify subrecipients with a review of single audit in the federal clearinghouse				P			
2	Identify subrecipients that pose a risk per audit findings				P			
3	Develop a subrecipient monitoring plan for high-risk subrecipients	S			P			
4	Prepare subaward agreement and complete CPA once fully executed.				P			
5	Create requisition for subrecipient			P				
6	Approve requisition for subrecipient		P					
7	Receives subrecipient invoices		S					P
8	Approve subrecipient invoices for payment	I	S	P				
9	Process subrecipient invoices for payment							P
10	Verify all sub invoice charges are entered appropriately			I		P		
11	Verify sub invoices (including final) are received			P				
12	Address subrecipient questions regarding payment of invoices	I		S				P
13	Ensure performance goals are achieved by subrecipient	P						
14	Report performance issues to Pre-Award immediately	I		P	I			
15	Request back-up documentation from subrecipient per subcontract			P				
16	Perform ad-hoc audit of high-risk subrecipients							P*
17	Review corrective action plans for subrecipients	I		I	S			P*
18	Internally communicate the results of subrecipient audit findings or corrective actions	I		I	I			P*
19	Maintain documentation of sub monitoring efforts	I		S		P		

Effort Reporting

Post-Award is responsible for the effort reporting process, including notifying PI/Department of upcoming certification, tracking current and pending effort commitments, collecting and maintaining effort reports, and monitoring compliance with the policy. The PI must complete the reporting requirements and track effort commitments. The Post URA works with the PI to track current and pending effort commitments to promote compliance.

#	Activity	1	2	3	4	5	6	7
1	Hire personnel according to staffing needs and budget	P	S	I				
2	Maintain operational budget to allocate personnel costs to appropriate funding sources	I	P					

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
3	Review allocations for compliance and submit personnel distributions	I	I	P								
4	Validate accuracy of personnel costs during financial reconciliation	I	I	P	S							
5	Notify PI of upcoming Effort Certification	I	I	S	P							
6	Complete effort reporting requirements	P		S								
7	Track current and pending effort commitments	I	S	P	S							
8	Collect and maintain official records of effort reporting				P							
9	Monitor compliance with effort reporting policy			S	P							

Audit

The Controller's Office is responsible for corresponding with any external entity regarding an audit by preparing a response, following-up on corrective actions. Post-Award is responsible for interfacing during desk reviews. Research Compliance is responsible for coordinating site visits.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	Receive notice of audit and notify internal parties	I		I	I	I				P		
2	Correspond with external entity regarding audit				S					P		
3	Prepare Audit response				S					P		
4	Follow-up on corrective actions				S					P		
5	Interface for external agency review	I			S					P		
6	Interface for desk reviews	I			S					P		
7	Coordinate site visits with regulatory officials (DHHS, OIG, OHRP, FDA)	I			S	P						

Commercialization and Industry Engagement

Commercialization and Industry Engagement is responsible for assisting with sponsored agreements with industry, and non-sponsored agreements. This includes reviewing and reporting royalties and IP activity and developing business relationships.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	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		
3	Review and report patent and IP activity									P	I*	
4	Report Inventions to sponsors as required				P					I		
5	Manage royalties and IP payments									P		
6	Develop industry and business relationships									P*		P*

Research and Operational Budget

The Business Officer is responsible for supporting the development of budgets for institutional operations and providing the requested information for budget oversight.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	Support the development of budgets for institutional operations		P									S
2	Support the VPR by providing the requested information for budget oversight		P									S
3	Support reporting of research budgets against actual expenditures		P									S

Metrics

Each OVPR office is responsible for ensuring the integrity of data pulled into the metrics dashboard and monitoring their own metrics. Data Analysis is responsible for preparing metrics, responding to surveys (e.g. HERD), and other reporting needs including F&A distribution, center and Institutes, and lab productivity.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	Ensure data integrity for data that is pulled into metrics dashboard		P	P	P	P	P		P	P		
2	Prepare metrics						P					
3	Monitor metrics		P	P	P	P	P		P	P		
4	Research Survey Responses (HERD, IRT, ICUT, etc.)						P				I	
5	Institutional Survey Responses w/ Research Component (i.e. Times Higher Ed)						S				P	
6	Internal Research Reporting						P					
7	Centers and Institutes reporting		P									
8	Lab productivity studies for faculty (BRIC, BSB)						S					P*
9	Review of internal programs, including ROI		P									

Institutional Activities

The Controller's Office negotiates rates and periodically reviews the rates for recharge centers.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	Calculate, Negotiate, and Set F&A and Fringe Rates									P		
2	Manage equipment		S									P*
3	Recharge Centers - Review Rate Setting periodically									P		
4	Recharge Centers - Process Recharge											P*

OVPR Systems Management

Research IT manages the sponsor system access for other individuals. Post-Award and the Post URA are responsible for unprocessed costs. Research IT coordinates all OVPR system issues/upgrades/testing. Research IT coordinates with Research Development to provide training materials and delivery.

#	Activity	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	C11
1	Manage sponsor system access for all roles; serve as University Admin (Fastline, NIH Commons, etc.)							P				
2	Import labor/payroll to PPM											
3	Monitor PPM unprocessed transactions			S	P							
4	Manage unprocessed transactions			S	P							

#	Activity											
5	Identify and manage bug/enhancement requests							P				
6	Work with IT / vendor to prioritize requests							P				
7	Work with IT / vendor to implement bug fixes/enhancements							P				
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, processing labor distributions, including salary buy-outs and summer salary. Pre-Award is responsible for reviewing risk for foreign sponsors.

#	Activity											
1	Manages visiting scholars process						P					P
2	Process summer salary		S	P*								
3	Visual Compliance process			P	I	P		S		I	I	

Procurement Functions

The PI is responsible for identifying research supplies/equipment that is needed for purchase through the procurement portal. The procurement leads are responsible for reviewing and approving/disapproving the supply request. The Post URA reviews the research requisitions daily to ensure they are compliant with institutional policies, approve based on allowability, allocability, and reasonableness. The URA conducts a monthly review of expenses and identifies cost transfers or adjustments during the monthly reconciliation process.

#	Activity											
1	Identify research supplies/equipment for purchase ("shops") via the procurement portal (catalog and non-catalog)	P	S									
2	Conduct review and approve or disapprove based on institutional procurement policies	I	P	S								P
3	Submit approved requisitions											P
4	Conduct daily review of all submitted research requisitions based on institutional policies for project-funded purchases	I		P								
5	Approve or disapprove research requisitions based on allowability, allocability, and reasonableness, also considering available budget and award terms and conditions	I	S	P								
6	Conduct post-audit review of research-related purchases through monthly reconciliation processes	I		P								
7	Identify cost transfers or adjustments as identified through monthly reconciliation process and initiate correction	I		P		S						
8	Expense Reports		P	S								
9	Confirm requisitions have been approved, processed, and allocated appropriately			P								

HR Functions

The Post URA and PI meet monthly and determine whether there is a need for personnel changes on an award. The Post URA then reviews and approves based on allowability, allocability, and reasonableness, also considering the available budget and award terms and conditions.

#	Activity											
1	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	P	S	S								
2	Review and approve required personnel changes based on allowability, allocability, and reasonableness, also considering available budget and award terms and conditions	I	I	P								
3	Prepare Labor Distribution requests and route to LD Team			P								
4	Complete data entry in Ignite											P
5	Conduct review of personnel requests and approve or disapprove			I								
6	Confirm changes have been approved and processed in the system	I	S	P								

Faculty Funds

The Business Officer is responsible for allocating faculty funds from the unit to departments or PIs. The Post URA may assists the PI in determining where these funds are appropriate for use.

#	Activity											
1	Allocate faculty funds from unit to individual departments and PIs		P									P
2	Based on monthly PI meetings, review all account activity and identify need for use of faculty funds (e.g. F&A rev share, start-ups) when sponsored accounts are not appropriate	S	I	P								