

## 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	Research Development	Pre-Award	Post-Award	Research Compliance	General Counsel	Corporate and Foundation Relations	Other
<b>Sponsor Maintenance</b>											
<i>Pre-Award identifies new sponsors that need to be added to Ignite. Post-Award is responsible for completing the entry.</i>											
1 Identify need for new sponsor to be added to CARA/Ignite						P					
2 Setup new sponsor in Ignite							P				S
3 Set up new sponsor in CARA											P
<b>Proposal Drafting &amp; Development</b>											
<i>Research Development and/or Office of Corporate and Foundation Relations assist researchers in finding funding opportunities. If sponsor is on Managed Foundations list, CFR is made aware during proposal development. The PI is responsible for searching for new opportunities and developing the project's concept and scope of work. Research Development supports the PI as needed. The administrative portion of the proposal is developed by the Pre URA with assistance from the unit's Business Officer as needed. If the PI determines a need for subcontracts, the Pre URA contacts the subrecipient and incorporates subrecipient proposal materials within the proposal internal deadlines. Pre-Award is responsible for identifying the subrecipient risk level, maintaining subrecipient records in CARA, managing submission deadlines, reviewing COI disclosures, and overall approving or disapproving of prospective research on behalf of the institution.</i>											
1 Provide infrastructure, resources, and training for finding funding opportunities and proposal development					P*					P*	
2 Search for proposal opportunities	P	S	I		S					P*	
3 Search for and support strategic proposals for designated areas of focus		S			P					P*	
4 Make determination related to limited submissions and provide approval documentation in CARA	I		I		P						
5 Develop proposal - project concept, scientific portion, scope of work	P				S					I*	
6 Develop proposal - administrative portion, budget, budget justification	I	S	P			I*				I*	
7 Initiate CARA record and upload documentation	I		P								
8 Determine the need for subcontract(s)	P	I	I			I					
9 Develop proposal - subcontracts (LOI, SOW, budget, budget justification, commitment form)	S	I	P			I*					
10 Evaluate subrecipient risk level	I					P					
11 Complete Conflict of Interest documentation for proposal	P		S								
12 Enforce internal submission deadlines			S			P				P*	
13 Prepare JIT information (Other Support, IRB approval, IACUC approval)	S		P			I		I			
14 Review COI disclosure						P					
15 Overall responsibility for approving or disapproving prospective research	I					P		I	I		
<b>Proposal Review &amp; Submission</b>											
<i>Proposals and JIT are reviewed by Pre-Award with the support of the Pre URA. Revisions are made by the PI with the support of the URA. Pre-Award ultimately submits the proposal to the sponsor.</i>											
1 Review proposal information			S			P				P*	
2 Revise/correct proposal based on review	S		P			I					
3 Submit proposal to sponsor						P				P*	
4 Review JIT information	I		S			P					
5 Revise/correct JIT information based on review	P		S								
6 Submit JIT information to sponsor	S		S			P					
<b>Proposal Scientific Review</b>											
<i>Research Compliance is responsible for reviewing any feasibility assessment, determined by the Pre URA, and confirming the proposal meets the requirements outlined in the FOA. They conduct congruency reviews as needed.</i>											
<b>Contracting and Negotiation (Incoming)</b>											
<i>Pre-Award and the PI receive the notice of award and begin the contracting and negotiating responsibilities. Pre-Award negotiates the terms and conditions with the sponsor along with input from the PI and General Counsel if there are exceptional circumstances. Final terms determined by Pre-Award are reviewed by the PI. Pre-Award signs the award. The Pre URA prepares a subcontract if needed. Pre-Award develops the subcontract and reviews the compliance information and engages Research Compliance as needed. Pre-Award negotiates the subcontract terms and conditions with the subrecipient with input from the PI. Once terms are settled, Pre-Award signs the subcontract.</i>											
1 Receive award notice	S					P				P*	
2 Budget Revision			P			S					
3 Negotiate award terms and conditions with sponsor	I*					P			I*		
4 Review final award stipulations for execution	I					P		S*	I*		
5 Sign award as Institutional Official						P					

6	Notifies the appropriate regulatory office if changes to project scope will affect approved protocols	I				S		P			
7	Initiate the preparation of a subcontract based on scope needs	I		S		P					
8	Develop subcontract	I		I		P					
9	Review subcontract compliance information (IRB, IACUC, COI)	I		I		P		S*			
10	Maintain single IRB of record							P			
11	Negotiate subcontract terms and conditions with subrecipient	I*				P			I*		
12	Send subcontract to subrecipient for review and approval	I				P					
13	Receive partially-signed subcontract and review final stipulations	I				P					
14	Sign subcontract as Institutional Official					P					
<b>Project Setup</b>											
<i>Pre-Award is responsible for abstracting the award documentation for the account setup in CARA. All documents are maintained by Pre-Award. Post-Award then sets up the award in the Ignite, after verifying the information is correct.</i>											
1	Receive award notice/documentation					P					
2	Revise Baylor budget to match award amount	I*	I*	P		S					
3	Review award compliance information (IRB, IACUC, COI)					P		I*			
4	Review and abstract award documentation for account set-up in CARA					P					
5	Finalize award-related documents using naming/file conventions and maintain them in CARA					P					
6	Notify Post-Award that award is ready for financial system set up					P					
7	Set-up award in financial system							P			
8	Set up labor distribution assignments				P						
9	Maintain documentation of new award					P	P				
10	Verify that the award was properly setup in Ignite	I	I		S		P				
11	Review/approve Advance Account requests			I		P					
<b>Non-Competing Continuation Applications/Progress Reports</b>											
<i>The PI is responsible for developing applications or progress reports for non-competing continuations with the support of a Unit Admin or Business Officer as needed. The Pre URA is responsible for reviewing and uploading these reports. Pre-Award is responsible for submitting progress reports to the sponsor. The Pre URA, with the input of the PI, is responsible for determining the need for subcontract modifications. Pre-Award is responsible for continuing the negotiations with subrecipients. If the need for a carryforward request is indicated by PI, the Pre URA will develop and Pre-Award will review and submit to sponsor.</i>											
1	Develop application / progress report for non-competing continuation	P		S							
2	Upload application / progress report for non-competing continuation	P		S							
3	Review and Submit application / progress report for non-competing continuation			I		P					
4	Complete compliance information (IRB, IACUC, COI)	P		S							
5	Review compliance information (IRB, IACUC, COI)			I		P		S*			
6	Determine the need for new/modified subcontract	I		S		P					
7	Initiate subcontract documentation (new/modified)	I		S		P					
8	Prepare subcontract documentation (new/modified)	I		S		P					
9	Review subcontract documentation to move forward with subcontract negotiation	I		S		P					
10	Develop carryforward request for approval, if required	I		P				I			
11	Budget Revision	P		S		I					
12	Review carryforward request			I		P					
13	Submit carryforward request to sponsor					P					