OFFICE OF THE VICE PROVOST FOR RESEARCH
Sponsored Research Roles and Responsibilities   www.baylor.edu/research

PI	Principal Investigator	**Library**	University Libraries- Research and Engagement
Chair	Department Chair	**ORC**	Office of Research Compliance (OVPR)
Dean	College Dean	**OGC**	Office of General Counsel
ORA	Office of Research Advancement (OVPR)	**GA**	Grants Accounting
OSP	Office of Sponsored Research (OVPR)	**MAC**	Marketing & Communications (OVPR)
URA	University Research Administrators (OVPR)		

	PI	Chair	Dean	ORA	OSP	URA	Other
IDENTIFYING FUNDING OPPORTUNITIES							
Search for opportunities	X	X	X	X		X	
Provide guidance on opportunities		X	X	X			
Identify internal funding resources	X	X	X	X			
Identify collaborators	X			X			
PROPOSAL PREPARATION							
Request OSP ticket/ Box folder	X					X	
Write proposal narrative	X						
Edit/proofread proposal narrative				X			
Identify subawardees/contractors and request appropriate documentation	X				X		
Develop budget and budget justification	X				X		
Identify cost sharing requirements	X				X		
Approve cost sharing requests	X	X	X		X		
Secure letters of University commitment, if necessary					X		
Draft letters of support (e.g., mentors, collaborators)	X			X			
Draft supplemental documents (e.g., logic models, biosketches)	X			X			
Collect and track supplemental documents (e.g., letters of support, biosketches)						X	
Provide guidance/training on proposal preparation		X	X	X	X		
Develop data management plan	X					X	Library
Complete proposal routing form and route for approvals	X					X	
PROPOSAL REVIEW AND APPROVAL							
Confirm proposal meets sponsor requirements for formatting and compliance	X			X	X	X	
Review budget for sponsor requirements for formatting and compliance	X	X	X		X	X	
Review and approve final proposal before sending to OSP	X	X	X	X		X	
Provide final approval of proposal					X		
PROPOSAL SUBMISSION							
Upload final documents to funding platforms (e.g., FastLane, grants.gov)	X					X	
Proposals required to be submitted by authorized official credentials					X		
Obtain hardcopy/original signatures					X		
Proposals required to be mailed, hand-delivered, or emailed directly	X				X		

*(Left vertical label: **PRE-AWARD**. URA column marked "COMING SOON!")*

POST-AWARD

	PI	Chair	Dean	ORA	OSP	URA	Other
Regulatory Compliance Requirement							
Complete and submit compliance forms (e.g., IRB, IACUC), if required	X					X	ORC
Review and complete conflict of interest disclosure	X				X		ORC
Confirm all applicable compliance forms have been completed as appropriate	X				X	X	ORC
Award Acceptance and Set-Up							
Accept sponsor notification of an award					X		
Review terms and conditions					X		OGC
Review and approve programmatic terms	X				X		OGC, ORC
Negotiate terms and conditions with sponsor					X		OGC
Signed agreement by Baylor's AOR					X		OGC
Confirm compliance requirements (e.g., IRB, IACUC) have been met	X				X		ORC
Ensure cost sharing is documented (if applicable)	X				X		
Establish award in TRAX and notify PI of project number and award documents					X		
Publicize grant award							MAC
Conducting and Managing the Project							
Prepare and submit BearQuest and TSA documentation	X					X	
Initiate purchases on the project	X						
Initiate prior approvals for project changes (e.g., PI, scope, extensions, effort) to OSP	X						
Review and approve changes and forward to sponsor, if necessary					X		
Confirm compliance requirements (e.g., IRB, IACUC) have been met for any project changes if applicable	X						ORC
Initiate rebudget requests to OSP	X						
Review and approve rebudget requests and forward to sponsor, if necessary					X		
Review financial reports and oversee expenditures	X				X	X	GA
Invoicing and Financial Reporting and Compliance							
Prepare and submit invoices or financial reports to sponsor					X		
Receive and deposit payment from sponsor							GA
Produce letter of credit draw requests							GA
Monitor collections of overdue payments					X		GA
Issuance of Subawards							
Oversee programmatic aspects of subaward(s)	X					X	
Prepare, negotiate, and execute subaward(s)					X		
Prepare and monitor contracts/vendor purchase orders	X					X	
Subrecipient monitoring	X				X	X	
Review and approve subaward invoices	X				X	X	
Confirm subaward compliance requirements (e.g., IRB, IACUC) have been met and execute institutional agreements as necessary	X						ORC, OGC
Technical Reports							
Prepare technical reports	X						
Submit technical reports that require institutional approval					X		
Submit technical reports that do not require institutional approval	X						
Project Closeout							
Ensure all expenditures have posted to account	X				X	X	
Prepare final invoice					X		
Approve final invoice	X				X		
Ensure all financial reports have been submitted to sponsor					X		
Ensure all technical reports have been submitted to sponsor	X				X		
Ensure invention, patent, etc. reports have been submitted to the sponsor					X		
Close project account in TRAX					X		GA
Maintain official project documents					X		
Retain required records per sponsor and institutional policy	X				X	X	ORC

URA column: COMING SOON!