	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
Finding Funding																
For Grants & Contracts																
1	Identify funding opportunities									X						
2	Disseminate information on funding opportunities									X						
3	Assist in the identification of potential funding opportunities									X						
4	Provide application guidelines and forms							X								
5	Identify agency contacts at specific funding agencies							X								
6	Provide description of institutional resources for proposal narrative tailored to specific agency and proposed project									X						
7	Conduct educational offerings on finding funding and effectively acquiring research dollars.									X						
8	Conduct educational offerings on preparing budgets, utilizing eRA systems, and managing research dollars.							X								
Limited Funding for Grants & Contracts																
9	Notify RD if applying to limited funding opportunity	X														
10	Stay informed and notify campus of limited funding opportunities									x						
11	Coordinates review & selection committee (in coordination with schools)									x						
Develop Proposal																
Grants & Competing Contracts																
12	Notify local RA staff & OSP of intent to submit proposal	x														
13	Review sponsor requirements	x														
14	Review sponsor requirements			X												
15	Determine plan for proposal submission to share with necessary parties			X												
16	In the case of limited submissions, confirms the application is authorized to submit			X												
17	Determine if proposal should be determined a gift vs. grant							X								
18	Write Research Plan/Statement of Work	X														
19	Budget Development & Non-Scientific Budget Justification			X												
20	Budget Development & Budget Justification (in case of multi-PI grants submissions)		X	X												
21	Budget Development & Budget Justification	X														
22	Prepare administrative proposal forms			X												
23	If necessary, obtain Cost Share approval from department				X											
24	Approve cost share requests							X								
25	Approve cost share requests						X									
26	Confirms any other cost sharing is included only when mandated by sponsor and only up to the sponsor's required amount			X												
27	Assist in sponsor guideline interpretation and compliance – advise PI			X												
28	If necessary, identify and request need for off campus or additional space	X														
29	Approve space requests (College Owned)						X									
30	Approve space requests (GMU Owned)								X							
31	Approve space requests (Lab Requests)												X			

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
32	Complete other proposal elements (summary, biosketch, resources, other technical sections)	X														
33	Identify sub-awardees	X														
34	Obtain commitment letters, compliance documentation, small business subcontracting plan and other proposal/administrative documents from subawardees/subcontractors			X												
35	Enter proposal information into Sponsor System/Sponsor form			X												
36	Fill out school specific pre-award forms			X												
37	Enter proposal into system			X												
38	Submit proposal for routing in system			X												
39	Confirms all personnel included within the application have appropriate GMU appointments			X												
40	If individual is being hired, promoted, given a raise, ensure all HR documentation is on file			X												
41	Confirms all fringe benefits are included at the appropriate rate for duration of project.			X												
42	Confirms sub-recipient/vendors reflected within budget in accordance with regulatory assessment			X												
43	Make certain Financial Disclosure is completed			X												
44	Contact investigator and local RA regarding missing internal paperwork, if appropriate.							X								

Competing Contracts (only)

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
45	Notify OSP of plan to apply for competitive contract	X														
46	Prepare forms for small business subcontracting plans			X												
47	Review forms for small business subcontracting plans and forward to OSP	X														
48	Review forms for small business subcontracting plans for accuracy and regulatory compliance and forward to purchasing							X								
49	Approve contracting plan and return to OSP for submission to program															X
50	If needed, prepare General Qualifications, Past Performance information, Small Business sub-contract plan, Representations and Certifications							x								
51	If needed, prepare General Qualifications, Past Performance information, Small Business sub-contract plan, Representations and Certifications	X														

Non-Competing Contracts

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
52	Obtain draft of contract from sponsor							X								
53	Enter proposal in system and route			X												
54	Submit contract to OSP via system			X												

Compliance: Conflict of Interest

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
55	Enter new project into COI system	X														
56	Complete University Investigator Financial Interest in Research Report	X														
57	Determine all named co-investigators, collaborators, and subcontractors have submitted Investigator Financial Interest in Research Report forms before routing	X														
58	Review potential conflicts of interest												X				
59	If necessary, develop management plan to manage, reduce or eliminate the conflict of interest												X				
60	Work with ORIA to implement management plan	X														
61	If necessary, agree to management plan to manage, reduce, or eliminate the conflict of interest									X							

Compliance: IACUC Approval (if animals are used in research)

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
62	Complete required CITI training	X														
63	Develop new animal protocols and/or amendments to existing protocols	X														

	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
64	PI Approves protocols	X														
65	Submit protocols to IACUC	X														
66	Review animal protocols and request modifications and/or approve											X				
67	Modify animal protocols, as requested by IACUC	X														
68	Generate approval letter											X				
Compliance: IRB approval (if human subjects are used in research)															
69	Complete required CITI training	X														
70	Develop consent documents	X														
71	Develop protocol	X														
72	Fill out IRB application (PI may delegate)	X														
73	Submit IRB application	X														
74	Review human subject protocols and request modifications and/or approve											X				
75	Modify protocols, as requested by IRB (PI may delegate)	X														
76	Generate approval letter											X				
Compliance: IBC approval (if certain biohazard materials, radioactive materials, or chemicals are used)															
72	Submit relevant forms and protocols to IBC	X														
73	Review protocol and request modifications and/or approve protocol												X			
74	Modify protocols, as requested by IBC	X														
75	Generate approval letter												X			
Compliance: Export Control/Controlled Unclassified Information (CUI) (if project involves materials, software or protected information)															
77	Submit relevant forms to ORIA	X														
78	Review request and determining whether the project involves materials, software or information that requires safeguarding											X				
79	Draft technology control plan or CUI safeguarding plan	X														
79	Approve control or CUI safeguarding plan											X				
80	Approve control or CUI safeguarding plan (if applicable)						X									
81	Generate approval letter											X				
Proposal Routing & Review (Grants & Contracts)															
82	PI certification of proposal	X														
83	Co-PI certification of proposal		X													
84	Review science	X														
85	Verify PI eligibility			X												
86	Review budget						X									
87	Review commitments (cost share, collaborative splits, space)						X									
88	Approve proposal						X									
89	**CONTRACTS**: Review draft of contract and ensure all relevant information is provided							X								
90	**GRANTS:** verify F&A rates							X								
91	**GRANTS:** verify compliance with university and Agency policies							X								
92	**GRANTS:** ensure all required information is attached and formatted properly							X								
93	**GRANTS:** Submit proposal to Agency (if paper)							X								
94	**GRANTS:** Submit proposal to Agency							X								

Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
95 For those sponsors which require institutional e-submission of application package (InfoEd, Grants.gov, NSF Fastlane, NASA NSPIRES, HRSA EHB, American Heart, Susan G Komen, Children's Trust, etc.), prepare package and upload appropriate documents			X												
96 Review the e-submission package for key administrative and financial concerns							X								
97 Conduct a systematic "validation"							X								
98 Collaborate with PI/local RA to correct any errors detected during "validation"							X								
99 Submit e-submission							X								
100 Where systems allow, track e-submission to ensure successful receipt/acceptance							X								
101 If errors detected/submission is declined, work with PI/local RA to correct errors and resubmit							X								
102 Track errors for error trending and future training for PI/local RA							X								
Award Notification and Negotiation (Grants)															
103 Receive Notice of Grant Award (NGA)							X								
104 Review award terms and conditions; ensure they are consistent with university policies (negotiate alternative language with sponsor, if necessary)							X								
105 Review award materials and ensure Statement of Work and Budget are correct							X								
106 Ensure compliance approvals have been received (e.g., IRB, IACUC)							X								
107 Accept and sign award with agency							X								
Contract Negotiation (Contracts)															
108 Negotiate contract with sponsor							X								
109 Update system with progress of contract negotiations							X								
110 Sign & execute contract with sponsor							X								
JIT Process															
111 Receive JIT Notification from agency							X								
112 Gather JIT information requested from agency			X												
113 Review JIT information							X								
114 Approve JIT information and submit to agency							X								
115 Prepare forms for small business subcontracting plans			X												
116 Review forms for small business subcontracting plans and forward to OSP	X														
117 Review forms for small business subcontracting plans for accuracy and regulatory compliance and forward to purchasing							X								
118 Approve contracting plan and return to OSP for submission to program															X
Award Set Up															
At Risk Account Number Request															
119 Request at risk account	X														
120 Request at risk account			X												
121 Receive, review and approve requests to Open Accounts on Guarantee							X								
122 Review for allowability and approve at risk request						X									
123 Create at risk account							X								
124 Issue at risk account							X								
Fund Number Establishment															
125 Create award file (save NGA and agency docs, budget) and begin award set up							X								
126 Send New Award Notification Letter to PI							X								

	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
127	If needed, request additional information from local RA (revised budgets, collaborative splits, etc.)							X								
127	Send revised materials to OSP (e.g. budget)			X												
128	Setup award (review checklist, enter budgets) and assign fund number							X								
129	Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)							X								
130	Create Award Letter							X								
131	Send Award Letter to PI and co-collaborators (and their local RA staff)							X								
132	Review Award Letter for accuracy			X												
133	If changes are required, request changes to the Award Letter			X												
134	Make changes to Award Letter & upload new Award Letter							X								
135	Save Award Letter, revised budget, & other relevant docs to award file							X								
136	Upload to Banner financial system							X								
137	Enter billing information into Banner							X								
138	Make changes in Banner, as necessary							X								
139	Maintain account distribution list			X				X								
Subawards & Subcontracts																
140	Submit request for subaward/subcontract via Subaward/Subcontract Request System							X								
141	Review proposed budget for reasonableness in terms of scope of work	X														
142	Ensure proposal/award/sponsor allow for subawarding and allows all specific items on the budget	X														
143	Review & confirm subaward amounts for initial subaward set up; authorize OSP to issue subaward/establish encumbrance	X														
144	Ensure subaward meets regulatory test							X								
145	Provide/obtain all certifications required for subagreements							X								
146	Negotiate subagreements with subawardees/subcontractors							X								
147	Create, review, negotiate and execute all subagreement amendments as warranted							X								
148	Sign and execute subagreement							X								
149	Notify local RA subagreement has been executed							X								
Manage Award																
Expenditures																
150	Review award finances at least bi-monthly: Ensure awards are meeting budgets and costs are allowable			X												
151	Review award finances monthly: Ensure awards are meeting budgets	X														
152	Set up payroll distributions						X									
153	Make Human Resources changes						X									
154	Submit Funding Change Request			X												
155	Approve Funding Change Request (if over 120 days)							X								
156	Initiate allowable purchases of equipment, goods, and services for award	X														
157	Approve purchases (as necessary)			X												
158	Approve purchases (as necessary)						X									
159	Approve purchases (as necessary)															X
160	Request CAS exception			X												

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
161	Approve CAS exceptions							X								
162	Provide feeder systems and recharge centers with proper account number			X												
163	Complete journal entries/cost transfers			X												
164	Approve journal entries/cost transfers						X									
165	Approve journal entries (as necessary)							X								
166	Clear Suspense accounts			X												

Paying Subawards & Subcontracts

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
167	Receive Subaward invoices & send to OSP for approval															X
168	Review subaward invoices to verify invoice format includes all required elements (including required certification statements & signature, correct foreign invoice template if applicable, cost share detail if applicable, encumbrance number, & billing period), review period of performance and available balance. Specify correct account codes in subaward invoice approval system for processing.							X								
169	Assist PI in review of invoices for amount, budget categories & unallowable expenses			X												
170	Approve subaward invoices for payment (and verify that technical progress is consistent with the invoices)	X														
171	Receive subcontract invoices in system															X

Billing/Invoicing: Letter of Credit (CR_LOC)

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
172	Generate invoices to determine amount of money to draw down monthly							X								
173	Draw down cash from funding agency							X								
174	Apply cash to account															X
174	Provide cash reports to agencies (typically quarterly) (dependent on agency)							X								
175	Provide cash reports to agencies (typically quarterly) (dependent on agency)															X

Billing/Invoicing: Cost Reimbursable (CR_NON_LOC)

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
176	Generate invoice and send to sponsor (provide information as needed)							X								
177	Receive check from sponsor															X
178	Apply check to account in system															X

Billing/Invoicing: Auto Scheduled/Advanced Payment (SCHED_PAY)

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
179	Receive check from sponsor															X
180	Match check with proper account															X
181	Apply check to account in system															X

Billing/Invoicing: Invoiced Schedule Payment

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
182	If milestone based, notify OSP of milestone and that an invoice must be sent	X														
183	If milestone based, notify OSP of milestone and that an invoice must be sent			X												
184	Generate invoice and send to sponsor							X								
185	Receive check from sponsor															X
186	Apply check to account															X

Interim Financial Reporting

#	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
187	Analyze expenditure data to be included in FSR			X												
188	Analyze expenditure data to be included in FSR							x								
189	Prepare FSR							X								
190	Submit FSR to Sponsor							X								
191	FSR will be uploaded into system							X								

Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
Effort Reporting															
192 Maintain Payroll Certification							X								
193 Review Payroll certification reports			X												
194 Certify Effort	X														
Non-Financial Reporting															
195 Submit scientific progress reports to agency, as indicated in award	X														
No Cost Extensions															
196 Request Prior Approval for a No cost Extension			X												
197 Approve Prior Approval Form						X									
198 Draft letter to agency to request a no-cost extension							X								
199 Request approval from agency							X								
200 Receive decision from agency							X								
Compliance															
201 Update COI disclosure form to reflect any Significant Financial Interest related to the research award, and ensure other relevant members of the research team do so as well.	X														
202 Renew IACUC Protocol, as needed	X														
203 Renew IRB Protocol, as needed	X														
204 Report adverse events or non-compliance related to animals	X														
205 Report adverse events or non-compliance related to humans	X														
206 Assist PIs in obtaining export licenses or documenting license exceptions											X				
Carryover															
207 Request carryover funds	X														
208 Notify OSP of budget adjustments			X												
209 Determine if sponsor approval must be obtained and obtain sponsor approval							X								
210 Make budget adjustments in financial system, as necessary							X								
Participant Stipend Distribution															
211 Request participant stipend	X														
212 Approve participant stipend request			X												
213 Provide School Approval				X											
214 Submit New participant stipend Request to Fiscal Services			X												
215 Process participant stipend Request															X
216 Issue Check for Custodian															X
Change Award															
System Record Maintenance															
217 Request change to account record			X												
218 OSP notifies PI/RA of change request							X								
219 Record Maintenance request completed							X								
Rebudgeting Requests															
220 Complete prior approval form			X												
221 Approve rebudgeting requests	X														
222 Approve rebudgeting requests						X									
223 Send prior approval form to OSP			X												
224 Approve rebudgeting requests							X								

	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
225	Seek OSP guidance if sponsor approval is required			X												
226	Obtain sponsor approval							X								
227	Update account with budget changes							X								
Changes in Effort over 25%																
228	Notify OSP of any changes in effort over 25%			X												
229	Review and approve changes in effort						X									
230	Request approval from sponsor for changes in effort							X								
231	Receive approval from sponsor							X								
232	Updates project team effort in system							X								
233	Generates new eNOA							X								
234	Make effort changes in the HR system (after sponsor has approved)			X												
Add Additional Projects																
235	Submit detailed justification/explanation for approval			X												
236	Approve justification/explanation request for additional project(s)							X								
237	Process additional project(s)							X								
Change in PI																
238	Send the PI Change request and supporting documentation to OSP			X												
239	Submit the request to the sponsor and notify of the approval/denial of the request							X								
Change in Scope of Request																
240	Submit change in scope request	X														
241	Submit change in scope request to agency							X								
242	Process change in scope request							X								
Transfer Grant out of University																
243	Check agency guidelines for transferring policy			X												
244	Write transfer letter including title, grant number, date of transfer and any equipment associated with the grant associated with transfer			X												
245	Obtain signature of Dept. Chair & Dean			X												
246	Sign Transfer letter							X								
247	Complete Final Invention Statement							X								
248	Submit transfer letter and Final Invention Statement (as necessary)							X								
249	Prepare relinquishing statement							X								
250	Send statement to sponsor							X								
Close Out Award																
Final Financial Status Report or Invoice: Reconcile Expenses/Final Reportable Expenses																
251	Review NGA & eNOA for restrictions			X												
252	Review expenditures for unallowable expenses			X												
253	Reconcile F&A			X												
254	Submit journal entries and RSTs (if necessary) to reconcile award expenses			X												
255	Ensure all subcontract/subaward invoices have been paid			X												
256	Ensure all encumbrances have been cleared (work with Fiscal Services to clear)			X												
257	Review and report Cost Share to OSP (if required)			X												
258	Review and report Program Income to OSP (if required)			X												

	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
259	Provide OSP with final reportable expenses (including additional expenses not on the General Ledger with necessary documentation); this should be sent within 60 days (for awards with a 90 day deadline)			X												
Final Financial Status Report or Invoice: Prepare FSR																
260	Review NOA and NGA for restrictions and budgets							X								
261	Review expenditures for unallowable expenses							X								
262	Review Cost Share (if required)							X								
263	Review Program income (if required)							X								
264	Reconcile F&A							X								
265	Discuss discrepancies with local RA							X								
266	Prepare FSR							X								
267	Send Final FSR/Invoice to sponsor							X								
Other Close Out Activities																
268	Update HR systems for effort			X												
269	Notify feeder systems of new account numbers			X												
270	Confirm effort has been certified							X								
271	Prepare final invention statement & certification (if Federal award)							X								
272	Ensure all deliverables have been submitted to sponsor							X								
Residual Balances and Deficits																
273	Determine if deficit or residual balance							X								
274	Inform PI and department or college administrator of award balance & necessary actions through initial close out email							X								
275	Submit JVs or Funding Change forms to transfer deficits to departmental account if applicable			X												
276	Prepare & distribute Fixed Price Closeout Worksheet for review and approval							X								
277	Notify OSP of any pending expenses that have not yet posted to the award (Local RA)			X												
278	Submit refund request to Accounts Payable following confirmation of final expenditures							X								
279	Send refund check to sponsor															X
280	Complete Fixed Price Closeout Worksheet Questions and sign (if balance greater than 15%)	X														
281	Review and approve Fixed Price Closeout Worksheet (if balance greater than 15%)				X											
281	Review and approve Fixed Price Closeout Worksheet (if balance greater than 15%)						X									
282	Review and approve Fixed Price Closeout Worksheet (if balance greater than 35%)															X
283	Transfer residual balance to unrestricted pool org after all applicable signatures obtained balance to unrestricted fund							X								
Account Close Out																
284	Ensure revenue=expenses; fund balanced to zero, and final expenditures match FSR							X								
\	Ensure all expenses have been invoiced and all payments have been collected and posted to award							X								
######								X								
######	Ensure all subaward closeout documents received and close encumbrances in financial system							X								
######	Inactivate award account in financial system							X								
Records Retention																

	Activity	PI	Co-Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	OTT	ORIA	EHS	HR	OIPS	Fiscal Services
######	Retain grant and contract records for period of time prescribed by GMU policy after the last activity on the award. Refer to relevant policy on maintenance of funded research records. *							X								
######	Retain grant and contract records for period of time prescribed by GMU policy after the last activity on the award. Refer to relevant policy on maintenance of funded research records. *															X

From GMU policy *Please note that not all original records are maintained in the office or department that has been given the grant or research project. The Office of Sponsored Programs and Office of Research Development, Integrity, and Assurance are responsible for records such as IRB documentation, awarded grants, fiscal tracking, etc.