11/30/2023 1 of 11



UNIVE	RSITY													
	Activity	PI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD OTT	ORIA	EHS	H OIPS R	Fiscal Services
Finding F	unding			<u>'</u>										
For Gran	ts & Contracts													
	1 Identify funding opportunities									Х				
	2 Disseminate information on funding opportunities									Х				Ī
	Assist in the identification of potential funding opportunities									Х				Ī
	4 Provide application guidelines and forms							Χ						Ī
	5 Identify agency contacts at specific funding agencies							Х						
	Provide description of institutional resources for proposal narrative tailored to specific agency									Х				Ī
	and proposed project													
	Conduct educational offerings on finding funding and effectively acquiring research dollars.									Х				Ī
	Conduct educational offerings on preparing budgets, utilizing eRA systems, and managing							Х						
	research dollars.													
Limited I	Funding for Grants & Contracts													
	9 Notify RD if applying to limited funding opportunity	Х												
1	O Stay informed and notify campus of limited funding opportunities									х				
1	1 Coordinates review & selection committee (in coordination with schools)									х				
Develop	Proposal													
Grants &	Competing Contracts													
1	Notify local RA staff & OSP of intent to submit proposal	х												
1	3 Review sponsor requirements	х												
1	4 Review sponsor requirements			Х										
1	Determine plan for proposal submission to share with necessary parties			Х										
1	In the case of limited submissions, confirms the application is authorized to submit			Х										
	7 Determine if proposal should be determined a gift vs. grant							Χ						
	8 Write Research Plan/Statement of Work	X												
	9 Budget Development & Non-Scientific Budget Justification			Х										
	Budget Development & Budget Justification (in case of multi-PI grants submissions)		Х	Х										
	1 Budget Development & Budget Justification	X												
	2 Prepare administrative proposal forms			Х										
2	If necessary, obtain Cost Share approval from department				Х									
2	4 Approve cost share requests							Х						
	5 Approve cost share requests						Х							
2	6 Confirms any other cost sharing is included only when mandated by sponsor and only up to the			Х										
	sponsor's required amount													
2	Assist in sponsor guideline interpretation and compliance – advise PI			Х										

11/30/2023 2 of 11

28	If necessary, identify and request need for off campus or additional space	Х														
-	Approve space requests (College Owned)	t					Х									
	Approve space requests (GMU Owned)	T							Х							
	Approve space requests (Lab Requests)	t											Х			
	Activity	PI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD (	ЭТТ	ORIA	EHS	H R	S	Fiscal Services
32 (	Complete other proposal elements (summary, biosketch, current and pending, resources, other technical sections)	Х														
33	dentify sub-awardees	Х														
	Obtain commitment letters, compliance documentation, small business subcontracting plan and other proposal/administrative documents from subawardees/subcontractors			Х												
35	Enter proposal information into Sponsor System/Sponsor form			Х												
36	Fill out school specific pre-award forms			Х												
37	Enter proposal into system			Х												
38 5	Submit proposal for routing in system			Х												•
39 (	Confirms all personnel included within the application have appropriate GMU appointments			Х												
40 !	f individual is being hired, promoted, given a raise, ensure all HR documentation is on file			Х												
41 (	Confirms all fringe benefits are included at the appropriate rate for duration of project.			Х												
	Confirms sub-recipient/vendors reflected within budget in accordance with regulatory assessment			Х												
	Make certain Financial Disclosure is completed	╁		Х								-		+		
	Contact investigator and local RA regarding missing internal paperwork, if appropriate.	+						Х							-	
	Contracts (only)															
	Notify OSP of plan to apply for competitive contract	Х				1		Π	l l	П	Т	T		Т	Т	
	Prepare forms for small business subcontracting plans	Ť		Х												
	Review forms for small business subcontracting plans and forward to OSP	Х														
40	Review forms for small business subcontracting plans for accuracy and regulatory compliance and forward to purchasing							Х								
49 /	Approve contracting plan and return to OSP for submission to program															Х
- I	If needed, prepare General Qualifications, Past Performance information, Small Business sub- contract plan, Representations and Certifications							х								
	If needed, prepare General Qualifications, Past Performance information, Small Business sub- contract plan, Representations and Certifications	Х														
Non-Comp	eting Contracts															
52 (	Obtain draft of contract from sponsor							Х								
-	Enter proposal in system and route			Х												
54 5	Submit contract to OSP via system			Х												
Compliance	e: Conflict of Interest															
	Enter new project into COI system	Х														
	Complete University Investigator Financial Interest in Research Report	Х				1										

11/30/2023 3 of 11

Part								•		_					
Ministry	57		Х												
1															
State		·										Χ			
Complete required CIT training are used in receivably   Complete required CIT training   Complete												Х			
6   fracessary, agree to management plant to manage, reduce, or igliminate the conflict of interest  1   Completer required CTT training 1   Complete required CTT training 2   Complete required CTT training 3   Complete required CTT training 4   Complete required CTT training 4   Complete required CTT training 5   Complete required CTT training 6   Complete required CTT training 7   Complete required CTT training 8   Complete required CTT training 8   Complete required CTT training 9   Complete requir	60	Work with ORIA to implement management plan	Х												
Complete required CHI training   X   Complete	61	If necessary, agree to management plan to manage, reduce, or eliminate the conflict of interest								Х					
Per	Complian	ce: IACUC Approval (if animals are used in research)				•									
Activity Activity and Paperson protocols Activity Research Staff R	62	Complete required CITI training	Х												1
Part	63	Develop new animal protocols and/or amendments to existing protocols	Х												1
Submit protocols and request modifications and/or approve   1		Activity	PI	Collaborators/	Research	Chair/Center	ADR		OSP	VPR	RD OTT	ORIA	EHS	H R OIPS	Sorvicos
66   Review animal protocols and request modifications and/or approve	64	PI Approves protocols	Х												
Fig.   Modify animal protocols, as requested by IACUC   X	65	Submit protocols to IACUC	Х												1
68   69   69   70   70   70   70   70   70   70   7	66	Review animal protocols and request modifications and/or approve										Х			
68   69   69   70   70   70   70   70   70   70   7	67	Modify animal protocols, as requested by IACUC	Х												
69   Complete required CTI training												Х			1
To   Develop consent documents	Complian	ce: IRB approval (if human subjects are used in research)				<u>'</u>									
71 Develop protocol	69	Complete required CITI training	Х												T
Fill out IRB application (PI may delegate)	70	Develop consent documents	Х												
Submit IRB application	71	Develop protocol	Х												
Submit IRB application	72	Fill out IRB application (PI may delegate)	Х												
Modify protocols, as requested by IRB (Pl may delegate)			Х												
76 Generate approval letter  77 Submit relevant forms and protocols to IBC  78 Review protocol and request modifications and/or approve protocol  79 Submit relevant forms and protocols to IBC  79 Modify protocols, as requested by IBC  79 Submit relevant forms to ORIA  79 Submit relevant forms to ORIA  79 Submit relevant forms to ORIA  80 SUBMIT RELEVANT FORMS TO THE SU	74	Review human subject protocols and request modifications and/or approve										Х			
Compliance: IBC approval (if certain biohazard materials, radioactive materials, or chemicals are used)  72 Submit relevant forms and protocols to IBC  73 Review protocol and request modifications and/or approve protocol  74 Modify protocols, as requested by IBC  75 Generate approval letter  77 Submit relevant forms to ORIA  78 Review request and determining whether the project involves materials, software or protected information that requires safeguarding plan  79 Draft technology control plan or CUI safeguarding plan  80 Approve control or CUI safeguarding plan  81 Generate approval letter  81 Generate approval letter  82 Submit relevant forms to ORIA  83 Submit relevant forms to ORIA  84 Submit relevant forms to ORIA  85 Submit relevant forms to ORIA  86 Submit relevant forms to ORIA  87 Submit relevant forms to ORIA  88 Submit relevant forms to ORIA  89 Submit relevant forms to ORIA  80 Submit relevant forms to ORIA  81 Submit relevant forms to ORIA  82 Submit relevant forms to ORIA  83 Submit relevant forms to ORIA  84 Submit relevant forms to ORIA  85 Submit relevant forms to ORIA  86 Submit relevant forms to ORIA  87 Submit relevant forms to ORIA  88 Submit relevant forms to ORIA  89 Submit relevant forms to ORIA  80 Submit relevant for	75	Modify protocols, as requested by IRB (PI may delegate)	Х												
Submit relevant forms and protocols to IBC	76	Generate approval letter										Х			
Review protocol and request modifications and/or approve protocol  Modify protocols, as requested by IBC  X  Senerate approval letter  To Submit relevant forms to ORIA  Review request and determining whether the project involves materials, software or information that requires safeguarding plan or CUI safeguarding plan  To Papprove control or CUI safeguarding plan  Approve control or CUI safeguarding plan (if applicable)  Review request and determining whether the project involves materials, software or information that requires safeguarding plan (if applicable)  Review request and determining whether the project involves materials, software or information that requires safeguarding plan (if applicable)  X  Review request and determining whether the project involves materials, software or information that requires safeguarding plan or CUI safeguarding plan or CUI safeguarding plan or CUI safeguarding plan (if applicable)  X  Review request and determining whether the project involves materials, software or protected information.  X  Review request and determining whether the project involves materials, software or protected information.  X  Review request and determining whether the project involves materials, software or protected information.  X  Review request and determining whether the project involves materials, software or protected information.  X  Review request and determining whether the project involves materials, software or protected information.  X  Review request and determining whether the project involves materials, software or protected information.  X  X  X  X  X  X  X  X  X  X  X  X  X	Complian	ce: IBC approval (if certain biohazard materials, radioactive materials, or chemicals are used)								•					
Modify protocols, as requested by IBC	72	Submit relevant forms and protocols to IBC	Х												T
Generate approval letter  Generate approval letter  Compliance: Export Control/Controlled Unclassified Information (CUI) (if project involves materials, software or protected information.  77 Submit relevant forms to ORIA  Review request and determining whether the project involves materials, software or protected information that requires safeguarding whether the project involves materials, software or information that requires safeguarding Plan or CUI safeguarding plan  78 Poraft technology control plan or CUI safeguarding plan  79 Approve control or CUI safeguarding plan  80 Approve control or CUI safeguarding plan (if applicable)  81 Generate approval letter  82 Submit relevant forms to ORIA  83 Submit relevant forms to ORIA  84 Submit relevant forms to ORIA  85 Submit relevant forms to ORIA  86 Submit relevant forms to ORIA  87 Submit relevant forms to ORIA  88 Submit relevant forms to ORIA  89 Submit relevant forms to ORIA  80 Submit rele	73	Review protocol and request modifications and/or approve protocol											Х		
Compliance: Export Control/Controlled Unclassified Information (CUI) (if project involves materials, software or protected information)  77 Submit relevant forms to ORIA  Review request and determining whether the project involves materials, software or information that requires safeguarding  78 Draft technology control plan or CUI safeguarding plan  79 Draft technology control or CUI safeguarding plan  79 Approve control or CUI safeguarding plan  80 Approve control or CUI safeguarding plan (if applicable)  81 Generate approval letter	74	Modify protocols, as requested by IBC	Х												
Submit relevant forms to ORIA  Review request and determining whether the project involves materials, software or information that requires safeguarding  79 Draft technology control plan or CUI safeguarding plan  79 Approve control or CUI safeguarding plan  80 Approve control or CUI safeguarding plan (if applicable)  81 Generate approval letter	75	Generate approval letter											Х		
Review request and determining whether the project involves materials, software or information that requires safeguarding  78 Draft technology control plan or CUI safeguarding plan  X S S S S S S S S S S S S S S S S S S	Complian	ce: Export Control/Controlled Unclassified Information (CUI) (if project involves materials, software or protected info	ormat	ion)											
18 information that requires safeguarding 19 Draft technology control plan or CUI safeguarding plan 20 Approve control or CUI safeguarding plan 30 Approve control or CUI safeguarding plan (if applicable) 31 Generate approval letter 32 Information that requires safeguarding plan 33 Approve control or CUI safeguarding plan 34 Approve control or CUI safeguarding plan (if applicable) 35 Generate approval letter 36 Approve control or CUI safeguarding plan (if applicable) 37 Approve control or CUI safeguarding plan (if applicable) 38 Approve control or CUI safeguarding plan (if applicable) 39 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 31 Approve control or CUI safeguarding plan (if applicable) 32 Approve control or CUI safeguarding plan (if applicable) 33 Approve control or CUI safeguarding plan (if applicable) 34 Approve control or CUI safeguarding plan (if applicable) 35 Approve control or CUI safeguarding plan (if applicable) 36 Approve control or CUI safeguarding plan (if applicable) 37 Approve control or CUI safeguarding plan (if applicable) 38 Approve control or CUI safeguarding plan (if applicable) 39 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve control or CUI safeguarding plan (if applicable) 30 Approve cont	77	Submit relevant forms to ORIA	Х												
To a												Х			1
79 Approve control or CUI safeguarding plan       Image: Control or CUI safeguarding plan (if applicable)       Image: Control or CUI safeguarding plan	78	information that requires safeguarding	1												
79 Approve control or CUI safeguarding plan       Image: Control or CUI safeguarding plan (if applicable)       Image: Control or CUI safeguarding plan	79	Draft technology control plan or CUI safeguarding plan	Х						Ì			1			$\top$
80 Approve control or CUI safeguarding plan (if applicable) 81 Generate approval letter 82 Approve control or CUI safeguarding plan (if applicable) 83 Approve control or CUI safeguarding plan (if applicable) 84 Control or CUI safeguarding plan (if applicable) 85 Control or CUI safeguarding plan (if applicable) 86 Control or CUI safeguarding plan (if applicable) 87 Control or CUI safeguarding plan (if applicable) 88 Control or CUI safeguarding plan (if applicable) 89 Control or CUI safeguarding plan (if applicable)			$\top$						Ì			Х			$\top$
81 Generate approval letter			$\top$					Х	Ì			1			$\top$
			$\top$									Х			$\top$

11/30/2023 4 of 11

0.2	Di sortification of proposal	х				1	1	1	1	1			1	т	$\overline{}$	
	PI certification of proposal	^								-				₩	$\rightarrow$	
	Co-PI certification of proposal	Х	Х											₩	$\longrightarrow$	
	Review science	X								-				₩	$\longrightarrow$	
-	Verify PI eligibility			Х						-				₩		
	Review budget						Х							₩		
	Review commitments (cost share, collaborative splits, space)	Ш					Х							₩		
	Approve proposal						Х							щ		
	CONTRACTS: Review draft of contract and ensure all relevant information is provided							Х						ш		
	GRANTS: verify F&A rates							Х						igspace		
91	GRANTS: verify compliance with university and Agency policies	Ш						Х						Ш		<u> </u>
-	GRANTS: ensure all required information is attached and formatted properly	Ш						Х						Ш		<u> </u>
93	GRANTS: Submit proposal to Agency (if paper)							Х								<u> </u>
94	GRANTS: Submit proposal to Agency							Х								
	Activity	ΡI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	отт	ORIA	EHS	H R		Fiscal Services
	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			х												
96	Review the e-submission package for key administrative and financial concerns							Х						П		
97	Conduct a systematic "validation"							Х								
98	Collaborate with PI/local RA to correct any errors detected during "validation"	Ħ						Х						П		
99	Submit e-submission	Ħ						Х						П		
100	Where systems allow, track e-submission to ensure successful receipt/acceptance							Х						Ħ		
101	If errors detected/submission is declined, work with PI/local RA to correct errors and resubmit							Х						Ħ		
102	Track errors for error trending and future training for PI/local RA							Х						Ħ		
	ification and Negotiation (Grants)	<u> </u>								•						
	Receive Notice of Grant Award (NGA)			1		Π		Х	l l	Π				П		
	Review award terms and conditions; ensure they are consistent with university policies	H				1		Х		l –				H		
	(negotiate alternative language with sponsor, if necessary)															I
	Review award materials and ensure Statement of Work and Budget are correct	П						Х						$\vdash$	$\dashv$	
	Ensure compliance approvals have been received (e.g., IRB, IACUC, other Sponsor-specific certifications)	H						Х						世	$\dashv$	
	Accept and sign award with agency	H						Х						H	$\dashv$	
	legotiation (Contracts)	۰														
	Negotiate contract with sponsor							Х								
	Update system with progress of contract negotiations	H						Х						$\vdash$	$\dashv$	
	Sign & execute contract with sponsor	H						Х						H	$\dashv$	
JIT Process														一		
	Receive JIT Notification from agency	П		I		Ī		Х	I	I				Π		
	Gather JIT information requested from agency	H		Х										什	$\dashv$	
	Review JIT information	H						Х						廿	$\dashv$	 I
-113		ш		<u> </u>		I				<u> </u>				ᄔ	—	

11/30/2023 5 of 11

114	Approve JIT information and submit to agency							Х								
115	Prepare forms for small business subcontracting plans			X												
116	Review forms for small business subcontracting plans and forward to OSP	Х														
447	Review forms for small business subcontracting plans for accuracy and regulatory compliance							Х								
117	and forward to purchasing															
118	Approve contracting plan and return to OSP for submission to program															Х
Award Set																
At Risk Ac	count Number Request															
119	Request at risk account	Х														
120	Request at risk account			Х												
121	Receive, review and approve requests to Open Accounts on Guarantee							Х								
122	Review for allowability and approve at risk request						Х									
123	Create at risk account							Х								
124	Issue at risk account							Х								
Fund Num	iber Establishment						<u> </u>									
125	Create award file (save NGA and agency docs, budget) and begin award set up							Х								
126	Send New Award Notification Letter to PI							Х								
			Co-	Local Level	Dept		Dean's									Fiscal
	A asi iib.	DI.	Collaborators/	Research	Chair/Center	ADR	Office	OCD	VDD	DD.	ОТТ	ORIA	FUC	н	oine S	Services
	Activity	М	Research Staff	Admin.	Director	ADK		USP	VPK	ΚD	OH	UKIA	EHS	R	OIPS `	
127	If needed, request additional information from local RA (revised budgets, collaborative splits,							Х						Н		
127	If needed, request additional information from local RA (revised budgets, collaborative splits, etc.)							Х								
127	etc.) Send revised materials to OSP (e.g. budget)			X				Х								
127	etc.)			X				X								
127 128	etc.) Send revised materials to OSP (e.g. budget)			X												
127 128 129	etc.) Send revised materials to OSP (e.g. budget) Setup award (review checklist, enter budgets) and assign fund number			X				Х								
127 128 129 130	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)			X				X								
127 128 129 130 131	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy			X				X X X								
127 128 129 130 131 132	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter							X X X								
127 128 129 130 131 132	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy			X				X X X								
127 128 129 130 131 132 133	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter			X				X X X								
127 128 129 130 131 132 133 134	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter			X				x x x x								
127 128 129 130 131 132 133 134 135	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file			X				x x x x								
127 128 129 130 131 132 133 134 135 136	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system			X				x x x x x x x x x x x x x x x x x x x								
127 128 129 130 131 132 133 134 135 136 137	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner			X				X								
127 128 129 130 131 132 133 134 135 136 137	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner  Make changes in Banner, as necessary			X X				X								
127 128 129 130 131 132 133 134 135 136 137 138 139 Subaward	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner  Make changes in Banner, as necessary  Maintain account distribution list			X X				X								
127 128 129 130 131 132 133 134 135 136 137 138 139 Subaward	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner  Make changes in Banner, as necessary  Maintain account distribution list  s & Subcontracts	x		X X				X								
127 128 129 130 131 132 133 134 135 136 137 138 139 Subaward 140 141	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner  Make changes in Banner, as necessary  Maintain account distribution list  s & Subcontracts  Submit request for subaward/subcontract via Subaward/Subcontract Request System  Review proposed budget for reasonableness in terms of scope of work  Ensure proposal/award/sponsor allow for subawarding and allows all specific items on the	X X		X X				X								
127 128 129 130 131 132 133 134 135 136 137 138 139 Subaward 140 141	etc.)  Send revised materials to OSP (e.g. budget)  Setup award (review checklist, enter budgets) and assign fund number  Ensure compliance checks completed (IRB, IACUC, Lab Safety and CITI requirements met)  Create Award Letter  Send Award Letter to PI and co-collaborators (and their local RA staff)  Review Award Letter for accuracy  If changes are required, request changes to the Award Letter  Make changes to Award Letter & upload new Award Letter  Save Award Letter, revised budget, & other relevant docs to award file  Upload to Banner financial system  Enter billing information into Banner  Make changes in Banner, as necessary  Maintain account distribution list  s & Subcontracts  Submit request for subaward/subcontract via Subaward/Subcontract Request System  Review proposed budget for reasonableness in terms of scope of work	_		X X				X								

11/30/2023 6 of 11

143	Review & confirm subaward amounts for initial subaward set up; authorize OSP to issue	Х													
143	subaward/establish encumbrance														
144	Ensure subaward meets regulatory test							Χ							
145	Provide/obtain all certifications required for subagreements							Χ							
146	Negotiate subagreements with subawardees/subcontractors							Χ							
147	Create, review, negotiate and execute all subagreement amendments as warranted							Χ							
148	Sign and execute subagreement							Х							
149	Notify local RA subagreement has been executed							Х							
Manage A	ward														
Expenditu	res														
150	Review award finances at least bi-monthly: Ensure awards are meeting budgets and costs are allowable			Х											
151	Review award finances monthly: Ensure awards are meeting budgets	Х													
152	Set up payroll distributions						Х								
153	Make Human Resources changes						Х								
154	Submit Funding Change Request			Х											
155	Approve Funding Change Request (if over 120 days)							Х							
156	Initiate allowable purchases of equipment, goods, and services for award	Х													
157	Approve purchases (as necessary)			Х											
150	Approve purchases (as necessary)						Х								
130							^								
	Approve purchases (as necessary)						Α								Х
159				X											Х
159	Approve purchases (as necessary)	PI	Co- Collaborators/ Research Staff	X Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	отт	ORIA	EHS	H R	X Fiscal Services
159 160	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions	PI	Collaborators/	Local Level Research	Chair/Center	ADR	Dean's	OSP	VPR	RD	отт	ORIA	EHS	H R	Fiscal
159 160	Approve purchases (as necessary)  Request CAS exception  Activity	PI	Collaborators/	Local Level Research	Chair/Center	ADR	Dean's		VPR	RD	отт	ORIA	EHS	H R	Fiscal
159 160 161 162	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions	PI	Collaborators/	Local Level Research Admin.	Chair/Center	ADR	Dean's		VPR	RD	ОТТ	ORIA	EHS	H R	Fiscal
159 160 161 162 163 164	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers	PI	Collaborators/	Local Level Research Admin.	Chair/Center	ADR	Dean's		VPR	RD	отт	ORIA	EHS	H O	Fiscal
159 160 161 162 163 164	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers	PI	Collaborators/	Local Level Research Admin.	Chair/Center	ADR	Dean's Office		VPR	RD	отт	ORIA	EHS	H O	Fiscal
159 160 161 162 163 164 165	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers	PI	Collaborators/	Local Level Research Admin.	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal
159 160 161 162 163 164 165 166	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers  Approve journal entries (as necessary)	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal
159 160 161 162 163 164 165 166 Paying Su	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal
159 160 161 162 163 164 165 166 Paying Su	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H R O	Fiscal Services
159 160 161 162 163 164 165 166 Paying Su	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval  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	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal Services
159 160 161 162 163 164 165 166 Paying Su	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval  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	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal Services
159 160 161 162 163 164 165 166 Paying Su 167	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval  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	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal Services
159 160 161 162 163 164 165 166 Paying Su 167	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval  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.	PI	Collaborators/	Local Level Research Admin.  X X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal Services
159 160 161 162 163 164 165 166 Paying Su 167	Approve purchases (as necessary)  Request CAS exception  Activity  Approve CAS exceptions  Provide feeder systems and recharge centers with proper account number  Complete journal entries/cost transfers  Approve journal entries (as necessary)  Clear Suspense accounts  Dawards & Subcontracts  Receive Subaward invoices & send to OSP for approval  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	PI	Collaborators/	Local Level Research Admin. X X	Chair/Center	ADR	Dean's Office	X	VPR	RD	ОТТ	ORIA	EHS	H O	Fiscal Services

11/30/2023 7 of 11

171	Receive subcontract invoices in system					l			I			1		ı		Х
	voicing: Letter of Credit (CR LOC)	ш														
	Generate invoices to determine amount of money to draw down monthly	П		T				Х	T T				T	Т	Т	
	Draw down cash from funding agency							Х						-		
	Apply cash to account													-		Х
	Provide cash reports to agencies (typically quarterly) (dependent on agency)							Х								
	Provide cash reports to agencies (typically quarterly) (dependent on agency)															Х
	voicing: Cost Reimbursable (CR_NON_LOC)	ш														
	Generate invoice and send to sponsor (provide information as needed)	П				Π		Х	T T				T	Т	Т	
-	Receive check from sponsor															Х
	Apply check to account in system															Х
	voicing: Auto Scheduled/Advanced Payment (SCHED_PAY)												<u>.                                    </u>			
_	Receive check from sponsor												T		T	Х
	Match check with proper account	H													-	Х
	Apply check to account in system															Х
	voicing: Invoiced Schedule Payment															
182	If milestone based, notify OSP of milestone and that an invoice must be sent	Х												T	T	
183	If milestone based, notify OSP of milestone and that an invoice must be sent			Х												
184	Generate invoice and send to sponsor							Х								
185	Receive check from sponsor															Х
186	Apply check to account															Х
Interim Fi	nancial Reporting					•			<u> </u>					•		
187	Analyze expenditure data to be included in FSR			Х												
188	Analyze expenditure data to be included in FSR							х								
189	Prepare FSR							Х								
190	Submit FSR to Sponsor							Х								
191	FSR will be uploaded into system							Х								
	Activity	PI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	отт	ORIA	EHS	H R		iscal ervices
Effort Box	orting															
Effort Rep	Maintain Payroll Certification							Х				T				
	Review Payroll certification reports	H		Х				^						-	-	
	Certify Effort	Х		^										-	-+	
	ncial Reporting	^														
	Submit scientific progress reports to agency, as indicated in award	Х											Ī			
No Cost E		^				L										
	Request Prior Approval for a No cost Extension			Х		I			1				1	T		
	Approve Prior Approval Form	H		^			Х							-	-+	
	Draft letter to agency to request a no-cost extension	$\vdash$				<b>-</b>	^	Х	1				<del>  </del>	-	$\dashv$	
	Request approval from agency	H						X						-	-+	
133	nequest approval noningency							^								

11/30/2023 8 of 11

Complement   Com	200	Receive decision from agency		Ī	T				Х								
2021 Jayanda Cold declosure from the reflect any significant Francial Interest related to the research 21 Jayanda Cold declosure control can market so the research barn of so as well. 22 Jayanda Cold declosure control and an advantage of the process of the proc																	
And your and on concern desire relevant members of the research train do so as well.  20) Reverw ARE Protection, a meeted  2   10   10   10   10   10   10   10   1			Х												Т	T	
200   Section Agriculture Product Carry	201																
200   Segont adverse events or more compliance relations to animals   X   X   X   X   X   X   X   X   X	202	Renew IACUC Protocol, as needed	Х														
200   Seport adverse events or non-compliance related to humanis   X	203	Renew IRB Protocol, as needed	Χ														
200   Assist Ps in obtaining export licenses or documenting Bicense exceptions	204	Report adverse events or non-compliance related to animals	Χ														
Curryower   Funds	205	Report adverse events or non-compliance related to humans	Χ														
200   Description of the product of adjustments   X   X   X   X   X   X   X   X   X	206	Assist PIs in obtaining export licenses or documenting license exceptions											Χ				
200   Notify OSP of budget adjustments	Carryover																
200   Determine if sponsor approval must be obtained and obtain sponsor approval	207	Request carryover funds	Χ														
					X												
Participant Stipend Bostribution									Х								
211   Request participant stipend request	210	Make budget adjustments in financial system, as necessary							Х								
212   Approve participant stipend request	•																
213   Provide School Approval			Χ														
214   Submit New participant stipend Request to Fiscal Services					Х												
215   Process participant stipend Request						Х											
216   Issue Check for Custodian					Х												
Change Award   System Record Maintenance   System Record																	Х
System Record Maintenance	216	Issue Check for Custodian															Х
217 Request change to account record  218 OSP notifies PI/RA of change request  219 Record Maintenance request completed  Rebudgeting Requests  220 Complete prior approval form  221 Approve rebudgeting requests  222 Approve rebudgeting requests  223 Send prior approval form to OSP  Activity  Activity  Activity  Dean's  Co-  Co-  Co-  Co-  Co-  Co-  Co-  Co	Change Av	vard															
218   OSP notifies PI/RA of change request																	
219   Record Maintenance request completed					X												
Rebudgeting Requests		- :															
220 Complete prior approval form  221 Approve rebudgeting requests  X  222 Approve rebudgeting requests  X  223 Send prior approval form to OSP  224 Approve rebudgeting requests  Activity  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Collaborators/ Research Staff  Admin.  Co-  Co-  Collaborators/ Research Staff	219	Record Maintenance request completed							Х								
221 Approve rebudgeting requests  222 Approve rebudgeting requests  223 Send prior approval form to OSP  224 Approve rebudgeting requests  225 Approve rebudgeting requests  226 Approve rebudgeting requests  227 Approve rebudgeting requests  228 Notify OSP of any changes in effort over 25%  229 Approve rebudgeting requests  220 Dept													1				
222 Approve rebudgeting requests  223 Send prior approval form to OSP  224 Approve rebudgeting requests  Activity  Activity  Co- Collaborators/ Research Staff  Admin.  Director  Admin.  Direct					X												
223 Send prior approval form to OSP  X  224 Approve rebudgeting requests  Activity  Activity  Co-Collaborators/Research Staff Research Staff  X  Dept Chair/Center Admin.  X  Dept Chair/Center Director  X  Dept Chair/Center Admin.  X  Dean's Research Chair/Center Director  ADR  Dean's Research Chair/Center Chair/Center Director  X  X  Dean's Dean's X  Dean's X  Dea			Χ														
Activity  Activity  Co- Collaborators/ Research Stafff  Admin.  Co- Collaborators/ Research Stafff  ADR  Dept  Chair/Center Director  ADR  Dean's OFfice  OSP  VPR  RD  OTT  ORIA  H  R  OIPS  Fiscal Services  Fiscal Services  ADR  Co- Collaborators/ Research Stafff  Admin.  X  X  X  X  X  X  X  X  X  X  X  X  X								Х									
Activity  Activity  Co- Collaborators/ Research Staff  Admin.  Co- Collaborators/ Research Staff  Admin.  Dept Chair/Center Director  ADR  Dept Chair/Center Director  ADR  Dept Chair/Center Director  ADR  Dept Chair/Center Director  Director  ADR  Dean's Office OSP VPR  R  Dean's OFFI  R  Dept Chair/Center Director  Director  ADR  Dean's OFFI  R  Dean's OFFI  R  Dept Chair/Center Director  Director  ADR  Dean's OFFI  R  Dean's OFFI  R  Dean's OFFI  R  Dean's OFFI  Dean					Х												
Activity  PI Collaborators/ Research Admin.  PI Collaborators/ Research Admin.  Admin.  Chair/Center Director  ADR  Office  OSP VPR RD  OTT  ORIA  EHS  H  OIPS  Services  Research Admin.  ADR  OIPS  Services  Research Admin.  Admin.  OTT  ORIA  EHS  H  OIPS  Services  Research Admin.  OIPS  Services  Research Admin.  X  OUSE  OND  OND  OND  OND  OND  OND  OND  ON	224	Approve rebudgeting requests							Х								
Activity PResearch Staff Admin. Director ADR																	
225 Seek OSP guidance if sponsor approval is required       X       Image: Changes in Effort over 25%         226 Obtain sponsor approval       X       Image: Changes in effort over 25%         228 Notify OSP of any changes in effort over 25%       X       Image: Changes in effort over 25%		Activity	ΡI	-			ADR	Office	OSP	VPR	RD	ОТТ	ORIA	EHS	ЬО	IPS S	ervices
226 Obtain sponsor approval       X       X         227 Update account with budget changes       X       X         Changes in Effort over 25%         228 Notify OSP of any changes in effort over 25%       X       X				Research Staff	Admin.	Director									K		
226 Obtain sponsor approval       X       X       Image: Changes in Effort over 25%         227 Update account with budget changes       X       X       X       X       Image: Changes in Effort over 25%         228 Notify OSP of any changes in effort over 25%       X       X       Image: Changes in Effort over 25%	225	Seek OSP guidance if sponsor approval is required			Х												
227 Update account with budget changes  Changes in Effort over 25%  228 Notify OSP of any changes in effort over 25%  X  X  X  X  X  X  X  X  X  X  X  X  X									Х						+		
Changes in Effort over 25%  228 Notify OSP of any changes in effort over 25%  X  X																	-
228 Notify OSP of any changes in effort over 25%  X															_		
					Х												
1 ZZ9JKEVIEW AND APPROVE CHANGES IN EMOTE		Review and approve changes in effort						Х							1		

11/30/2023 9 of 11

	Request approval from sponsor for changes in effort							Х							
	Receive approval from sponsor							Х							
232	Updates project team effort in system							Х							
	Generates new eNOA							Х							
234	Make effort changes in the HR system (after sponsor has approved)			X											
	onal Projects														
	Submit detailed justification/explanation for approval			X											
	Approve justification/explanation request for additional project(s)							Χ							
237	Process additional project(s)							Χ							
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							Χ							
	Scope of Request														
	Submit change in scope request	Χ													
241	Submit change in scope request to agency							Χ							
242	Process change in scope request							Х							
Transfer G	rant out of University														
243	Check agency guidelines for transferring policy			X											
	Write transfer letter including title, grant number, date of transfer and any equipment			Х											
	associated with the grant associated with transfer														
245	Obtain signature of Dept. Chair & Dean			Х											
246	Sign Transfer letter							Х							
247	Complete Final Invention Statement							Х							
248	Submit transfer letter and Final Invention Statement (as necessary)							Х							
249	Prepare relinquishing statement							Х							
250	Send statement to sponsor							Х							
Close Out	Award														
Final Finar	cial Status Report or Invoice: Reconcile Expenses/Final Reportable Expenses														
251	Review NGA & eNOA for restrictions			Х											
252	Review expenditures for unallowable expenses			X											
253	Reconcile F&A			Х											
254	Submit journal entries and RSTs (if necessary) to reconcile award expenses			Х											
255	Ensure all subcontract/subaward invoices have been paid			Х											
256	Ensure all encumbrances have been cleared (work with Fiscal Services to clear)			Х											
257	Review and report Cost Share to OSP (if required)			Х											
258	Review and report Program Income to OSP (if required)			Х											
	Activity	PI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	отт	ORIA	EHS	H R OIPS	Fiscal Services

11/30/2023 10 of 11

	Provide OSP with final reportable expenses (including additional expenses not on the General Ledger with necessary								
259	documentation); this should be sent within 60 days (for awards with a 90 day deadline)		Х						
Final Finar	ncial Status Report or Invoice: Prepare FSR								
260	Review NOA and NGA for restrictions and budgets					Х			
261	Review expenditures for unallowable expenses					Х			
262	Review Cost Share (if required)					Х			
263	Review Program income (if required)					Х			
264	Reconcile F&A					Х			
265	Discuss discrepancies with local RA					Х			
266	Prepare FSR					Х			
267	Send Final FSR/Invoice to sponsor					Х			1
Other Clos	e Out Activities								
268	Update HR systems for effort		Х						
269	Notify feeder systems of new account numbers		Х						
270	Confirm effort has been certified					Х			
271	Prepare final invention statement & certification (if Federal award)					Х			
272	Ensure all deliverables have been submitted to sponsor					Х			
Residual B	alances and Deficits								
273	Determine if deficit or residual balance					Х			
274	Inform PI and department or college administrator of award balance & necessary actions					Х			
274	through initial close out email								
275	Submit JVs or Funding Change forms to transfer deficits to departmental account if applicable		Х						
276	Prepare & distribute Fixed Price Closeout Worksheet for review and approval					Х			
277	Notify OSP of any pending expenses that have not yet posted to the award (Local RA)		Х						
278	Submit refund request to Accounts Payable following confirmation of final expenditures					Х			
279	Send refund check to sponsor								Х
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%)			Х					
281	Review and approve Fixed Price Closeout Worksheet (if balance greater than 15%)				Х				
282	Review and approve Fixed Price Closeout Worksheet (if balance greater than 35%)								Х
283	Transfer residual balance to unrestricted pool org after all applicable signatures obtained					Х			
203	balance to unrestricted fund								
Account C									
284	Ensure revenue=expenses; fund balanced to zero, and final expenditures match FSR					Х			
285	Ensure all expenses have been invoiced and all payments have been collected and posted to					Х			
	award								
286	Ensure all subaward closeout documents received and close encumbrances in financial system					Х			
287	Inactivate award account in financial system					Х			
Records Re	etention								

11/30/2023 11 of 11

Activity	ΡI	Co- Collaborators/ Research Staff	Local Level Research Admin.	Dept Chair/Center Director	ADR	Dean's Office	OSP	VPR	RD	отт	ORIA	EHS	H R	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. *							Х							
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. *														Х

\*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 policy are responsible for records such as IRB documentation, awarded grants, fiscal tracking, etc.