





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













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	H R	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													
<b>Final Financial Status Report or Invoice: Prepare FSR</b>																		
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								
<b>Other Close Out Activities</b>																		
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							
<b>Residual Balances and Deficits</b>																		
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							
<b>Account Close Out</b>																		
284	Ensure revenue=expenses; fund balanced to zero, and final expenditures match FSR										X							
285	Ensure all expenses have been invoiced and all payments have been collected and posted to award										X							
286	Ensure all subaward closeout documents received and close encumbrances in financial system										X							
287	Inactivate award account in financial system										X							
<b>Records Retention</b>																		

	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 R	OIPS	Fiscal Services
288	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								
289	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.