

Pre-proposal and Proposal Process

Key: O = Ultimate Owner of the Process/Activity
P= Primary Contributor to the Process X = Contributor to the process

Action/Transaction/Process	PI and/or Co-PI(s)	Dept /College Staff	OSPAN	ORSP	Grants Accounting	Others (Purchasing , A/P, Contracts, Legal Counsel, COI)
Pre-proposal Process						
Identify funding opportunities	O		P			
Review for mission, scope, ...	O	P				
Letter of intent	O					
Proposal Process						
Review funding opportunities guidelines	O		P	P		
Confirm Eligibility	O		P	X		
Provide submission timeline and list of needed documents to PI			O			
Identify subcontractors	O					
Obtain routing materials (budget and work scope, signed Letter of Intent)	P	X	O	X		
Prepare supplementary documents (e.g. Biographical Sketch, Other Support form, Current & Pending Support form, Conflict of Interest (COI), Management Plan, Data Management Plan, Letter of Support, etc.)	O	X	P			
Collect supplementary documents (e.g. Biographical Sketch, Other Support form, Current & Pending Support form, Conflict of Interest (COI), Management Plan, Data Management Plan, Letter of Support, etc.) from PI/Co-PIs, subcontractors, etc.	P	X	O			
Develop budget	O	X	P	X	X	X
Develop budget justification to incorporate programmatic details	O	X	P	X	X	
Obtain cost share documentation, if needed	X	X	O/P			
Review and agree on cost sharing commitment	X	O	P			
Complete compliance forms pages in grant proposal: Institutional Review Board (IRB), Animal Care and Use (IACUC), Institutional BioSafety Committee (IBC), Conflict of Interest (COI) Disclosures, Foreign Components, etc.	O	X	P	X		X
Write technical content of the proposal	O/P					X
Enter required documents into Muse	X		O/P			
Initiate routing in MUSE	O		P			
Complete final submission package; review any changes with PI	X	X	O/P	X		
Final review of proposal	X	x	X	O/P		
Complete electronic submission of proposals				O/P		
Review final proposal in funding agency portal	O/P			X		
Prepare responses to JIT requests	O	X	P	X		
Assist with and submit JIT responses	X		P	O		

Award Acceptance and Account Setup

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Award Acceptance	PI and/or Co- PI(s)	Dept /College Staff	OSPAN	ORSP	Grants Accounting	Others (Purchasing, A/P, Contracts, Legal Counsel, COI)
Receive sponsor's written intent to award a grant or contract and notify PI				O/P		
Request advance account	X	O	X	P		
Establish advance account in Muse		X	X	O/P		
Establish advance account in Workday					O/P	
Monitor advance account		X	X		O/P	
Receive Notice of Grant Award (NGA)				O/P		
Review NGA term and conditions, and compare award budget to proposal budget	X	X	O/P	X	X	
Cost share - Review for commitment from the proposal		X	O	P	X	
Review project for compliance approvals (e.g. IRB, IACUC, IBC, COI, Export Control) and request approval from responsible office or party if needed	X	X		O/P		X
Negotiate terms and conditions of the award/contract	X			O/P		O - General Counsel
Accept award terms and conditions award				O/P		
Accept terms and conditions contract				O		P - General Counsel
Account Setup						
Establish/update Award in Muse			X	O/P	X	X
Prepare modified budget to match NOA if award is different from the proposed budget	O	X	P			
Reconcile budget and complete Ancillary Review in Muse	X	X	O/P			X
Set up grant fund account in Workday					O/P	
Assign indirect cost rate schedule					O/P	
Set up cost share account in Workday					O/P	

Award Management/ Subawards

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Award Management/ Subawards	PI and/or Co-PI(s)	Dept /College Staff	OSPAN	ORSP	Grants Accounting	Others (Purchasing, A/P, Contracts, Legal Counsel, COI)
Prepare, negotiate, and execute outgoing subawards				O/P		X
Establish Subaward contract In Workday (SPC)				X	O/P	X
Manage programmatic aspects of subaward	O/P					
Receive Invoice from Subrecipient					O/P	
Review and approve subaward invoices for payment in Workday	O	P			X	
Subrecipient Risk Assessment				O/P	X	
Subrecipient Monitoring	X	X		X	O/P	
Award Management						
Implement projects/program activities	O	P				
Prepare purchase requisitions/spend authorizations		O/P				X
Execute payments		O/P				X
Clean up any unliquidated obligations/PO lines		O/P				X
Payroll Allocation entered into Workday		O/P				
Prepare Payroll Accounting Adjustments (PAA)		O/P				
Review and regularly monitor expenditures (lifecycle procurement)		O/P	X			X
Regularly monitor expenses and make any expense corrections		O/P	X			X
Provide monthly financial reports to the PI and department			O/P			
Review and Approve financial transactions	X	O/P			X	

Invoicing/Accounts Receivable; Award Modification; Rebudget Request(after the project is awarded); No Cost Extension Requests

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Invoicing/Accounts Receivable	PI and/or Co-PI(s)	Dept /College Staff	OSPAN	ORSP	Grants Accounting	Others (Purchasing, A/P, Contracts, Legal Counsel, COI)
Letter of Credit Draw					O/P	
Billing/Invoice expenditures Accounts Receivable		X			O/P	
Receive and deposit payments from sponsors				X	P	O - Treasurer's Office
Monitor and pursue the collections of overdue payments from sponsors		X			O/P	
Award Modification						
Initiate prior approval requests	O	X	P			
Negotiate (with sponsor) and process award modification			X	O/P	X	
Rebudget Request (after the Project is Awarded)						
Initiate rebudget requests	O	X	P			
Review and execute rebudget if sponsor approval is not required	X	X	P		O	
Review and negotiate rebudget request with sponsor if sponsor approval is required	X	X	P	O		
Post budget modifications in Workday to be reflected in Workday grant reports			X		O/P	
Modify monthly grant reports to accommodate budget revisions and changes to projections			O/P			
No Cost Extension Requests						
Initiate no cost extensions requests	O		P	X		
Submit no cost extension requests to sponsor				O/P		

Reporting and Account Closeout

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Reporting	PI and/or Co-PI(s)	Dept /College Staff	OSPAN	ORSP	Grants Accounting	Others (Purchasing, A/P, Contracts, Legal Counsel, COI)
Prepare annual progress reports	O		P	X		
Submit annual progress reports to sponsor	P		X	O		
Prepare and submit annual fiscal reports to sponsor			X		O/P	
Prepare and submit final technical reports to sponsor	O		X	P		
Award Closeout						
Send close-out notices to PI			O/P		X	
Ensure all appropriate expenditures have been posted to accounts		O/P	X		X	
Close open encumbrances		O/P	X			X
Remove Salary allocations		O/P	X			
Post reconciling journal entries		O/P	X		X	
Review expenditure postings/closeout transactions		P	O		X	
Verify final subaward invoices are posted		O/P	X			X
Prepare Cost Summary Report		X	O/P		X	
Provide signature that project and financial activity are complete.	O/P	X	X			
Prepare and submit final financial invoices/reports to sponsor					O/P	
Oversee submission of final Technical, invention, Patent reports	P			O		
Prepare and submit final technical reports to sponsor	P			O		
Inactivate award account in Workday					O/P	
Maintain official financial closeout documents for sponsored projects					O	
Maintain official project closeout documents for sponsored projects				O		