

**Who Does What?
Externally Funded Grants Processes**

Please note this document is provided as a summary of grant process steps and roles at DePaul relative to PI use. It does not include all steps taken by offices who engage with grants at DePaul, nor does it fully reflect the internal processes required for accounting or fund management in BlueSky. It may not cover all situations and exceptions. This document is not intended as a compliance or risk management document, and it has not been reviewed/approved as such.

Defintions:

ORS: Office of Research Services

ADV: Corporate and Foundation Relations in the Office of Advancement and External Relations

RA: Restricted Accounting

PI: Principal Investigator (plus any co-PIs)

Dean/VP: Dean or Vice President of the PI's college or administrative unit

AOR: Authorized Organizational Representative (President/Provost or his/her authorized designees)

PROCESS STEPS	ORS	ADV	RA	PI	Dean/ VP	AOR
Identification of Funding Opportunities						
Search for and evaluate funding opportunities	x	x		x		
Provide expert guidance on funding opportunities	x	x				
Initial Steps (Philanthropy)						
Complete Development Clearance form (for direct corporate/foundation grant solicitations)		x		x		
Provide review and approval of clearance request on behalf of PI's college administrative unit					x	
Approve clearance request on behalf of ADV and send information on next steps to faculty/staff PI		x				
Initial Steps (Government/Contract/Etc.)						
Reach out to ORS Pre-Award Office to share details of potential opportunity	x			x		
Respond to faculty/staff PI request with relevant instructions and next steps	x					
Proposal Preparation						
Guide PI on proposal preparation	x	x				
Develop and revise narrative documents for proposal. Primary responsibility is with PI with assistance from ORS or ADV as appropriate	x	x		x		
Develop and revise budget. Primary responsibility is ORS and PI with feedback from ADV as appropriate	x	x		x		
Complete application forms as needed	x	x		x		
Upload draft proposal narrative, applications, budgets and other materials to ORS/ADV shared drive for corporate foundation submissions to be used in routing	x	x				
Proposal Review and Approval						
Complete ORS proposal review form	x			x		
Coordinate institutional proposal review and approval process, including ensuring proposal meets funder guidelines	x					
Provide proposal review and approval on behalf of PI's college or administrative unit					x	
Make revisions and corrections to proposal as needed. Primary responsibility is PI with assistance from ORS and ADV as appropriate	x	x		x		
Conduct final review and provide institutional approval	x					x
ORS reviews any final revisions and saves final approved budget to applicable shared drive. Notifies PI and ADV of approval of submission on Corporate/ Foundation submissions; and PI on all other submissions	x					
Proposal Submission						
Mail, hand deliver or electronically submit approved proposals as appropriate (role varies based on funder preference and should be discussed in advance)	x	x		x		
Establish proposal in BlueSky	x					
Report or upload details of direct (final) submission to applicable shared drive, and share for PI records	x	x				
Award Acceptance						
Receive formal notification of grant or contract award and inform relevant offices	x	x		x		

ORS notifies PI of online grants training requirement and RCR requirements as applicable	x					
Coordinate review of terms and conditions, including General Counsel review, as needed or required	x	x				
Consult with PI on award terms and conditions during the negotiation process	x	x		x		
Negotiate award terms and conditions with sponsor	x	x				
Provide final review and institutional acceptance of award including appropriate signatures (signatory depends on type and amount of award)	x	x				x
Provide final executed award copy to OGC	x	x				
Acknowledgment for DePaul direct Corporate/Foundation Solicitations						
Receive and process payments from private funders and sponsors		x				
Immediately acknowledge receipt of such payments via thank you notes, receipts, etc.		x				
Award Set-Up						
Confer with PI if work scope/budget in award are inconsistent with proposed documents	x					
Confirm IRB, IACUC or IBC approval, as needed, at the point of award set-up	x					
Assign project number, confirm cost sharing commitments and sources	x					
Enter due dates for reports and other deliverables in BlueSky	x		x			
Send Notice of Grant Award (NOGA) to ORS			x			
Send email with Notice of Grant Award (NOGA) to PI on ORS email template	x					
Conduct orientation for PI as needed	x	x	x			
Initiate position management paperwork in BlueSky (collaborating with College Budget Manager as needed)				x		
Consult with ORS on subcontracts/subgrants and other third-party agreements				x		
Prepare and negotiate subcontracts/subgrants and other third-party agreements	x					
Identify any mandatory interest payments to the account			x			
Award Maintenance						
Initiate personnel actions (new positions, reallocations/redistribution of existing salaries) related to grant in collaboration with College Budget Managers				x		
Approve all personnel actions (processed through HR/College Budget Manager)	x					
Approve foreign travel and major purchases (\$5000 or more) initiated by the PI	x					
Initiate re-budgeting requests	x			x		
Approve re-budgeting requests conferring with funder as necessary	x	x				
Initiate no-cost extensions	x			x		
Review no-cost extension with funder as applicable	x	x				
Approve and process no-cost extensions	x		x			
Enter and finalize all approved award changes (from above) into BlueSky	x		x			
Provide summer salary distribution list to College Budget Manager	x					
Initiate summer salary action (ICP Payment) with College Budget Manager in BlueSky				x		
Approve summer salary processed through College Budget Manager	x					
Monitor cost sharing commitments	x		x	x		
Monitor subrecipients			x	x		
Certify time and effort				x		
Oversee expenditures for allowability, allocability and reasonableness	x		x	x		
Approve and manage any mandatory interest payments			x			
Retain documentation to support allocation of expenditures			x	x		
Review project transactions and reconcile accounts on a monthly basis				x		
Send out reminders of due dates for deliverables (financial status and grant progress reports)	x	x	x			
Follow up on reminders for deliverables with PIs as applicable	x	x				
Supplemental funding requests on a current award begin with Proposal Preparation step	x	x		x		
Invoicing and Billing for Sponsors (does not include Corporate/Foundation philanthropy)						
Identify the need to bill			x	x		

Create the invoice			x			
Provide institutional approval of invoices			x			
Track submission of invoices			x			
Accounts Receivable Management						
Manage cash (handling of checks, etc.)			x			
Produce and record letter of credit draw requests			x			
Monitor collection of payments			x			
Pursue collection of overdue billing			x			
Preparation and Submission of Financial Status Reports						
Prepare financial status reports			x			
Review financial status reports				x		
Institutional review of financial status reports as necessary	x	x				
Submit financial status reports to sponsor	x	x	x			
Coordinate submission of grant progress report as needed	x	x	x			
Preparation and Submission of Grant Progress/Reports						
Prepare grant progress reports		x		x		
Approve grant progress reports, as required	x	x				
Send grant progress reports to funder as required	x	x		x		
Maintain copy of the grant progress report	x	x				
Close-Out of Accounts						
Identify close-out situations	x		x			
Send periodic notices to PIs of approaching close-outs	x	x				
Send instructions to PIs as close-out dates approach	x					
Track and project spending to avoid over or under spending				x		
Initiate personnel changes with College Budget Manager				x		
Initiate termination or re-allocation of recurring charges to the account with College Budget Manager				x		
Ensure expenditures/cost transfer have been posted			x	x		
Resolve issues related to unreconciled accounts	x	x	x	x		
Ensure that all financial reports have been submitted			x	x		
Ensure that all final invention reports have been submitted	x			x		
Inactivate award account(s) in financial accounting system			x			
Coordinate retention of all award documents and records			x			
Coordinate retention of all grant data, documents and records as required				x		
Single Audit						
Comply with Uniform Guidance and sponsor conditions for compliance in all award transactions	x		x	x		
Ongoing Training						
Provide one-on-one or group training in grants administration to PIs and others in the university community	x	x	x			