# Pre-Award Activities

<table>
<thead>
<tr>
<th>Process</th>
<th>PI Responsibility</th>
<th>Department Responsibility</th>
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</table>
| Identify Funding Opportunity Intent to Submit (ITS) | • Identify funding opportunity  
• Engage with Departmental Research Development Officer, Office of Research Development and/or Foundation Relations and CGMT  
• Complete Intent to Submit (ITS) form | • Direct faculty, including new faculty hires, requiring grant support to CGMT  
• Confirm receipt of ITS form  
• Communicate internal and sponsor deadlines requirements to PI |                                                                                  |
| Proposal Development | • Review and understand the Solicitation/Funding Opportunity Announcement (FOA)  
• Discuss proposal with CGMT, respond to inquiries in a timely manner (in order to meet internal deadlines)  
• Discuss with CGMT responsibility for collecting, preparing or reviewing Biosketches, Other Support/Current and Pending documents  
• Complete all technical components of proposal. Technical aspects of the proposal are outside of the scope of the services provided by CGMT  
• Discuss expectations regarding the level of support with CGMT | If Applicable:  
• Provide departmental approval for proposal deadline waivers  
• Provide departmental approval for F&A waivers  
• Submit and obtain approval from Office of Research for F&A waivers and ORS for deadline waivers  
• Identify funding source for required sponsor cost sharing | • Review and understand the Solicitation/Funding Opportunity Announcement (FOA) including all relevant instructions/materials  
• Discuss proposal with PI, respond to inquiries in a timely manner (in order to meet internal deadlines)  
• Inform PI of timeline for proposal submission  
• Meet internal and sponsor deadlines  
• Apply sponsor F&A requirements  
• Assist PI with collecting and reviewing Biosketches, Other Support/Current and Pending documents  
• Complete the administrative sections of proposal  
• Review budget categories, providing guidance on reasonableness and allowability based on university guidelines |
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<tbody>
<tr>
<td></td>
<td>• Request proposal deadline waiver as needed</td>
<td></td>
<td>and sponsor terms and conditions</td>
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<td></td>
<td>• Request F&amp;A waivers as needed</td>
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<td>If Applicable:</td>
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<tr>
<td></td>
<td>• Only include cost sharing, if required by sponsor</td>
<td></td>
<td>• Provide instructions on proposal deadline waivers as needed</td>
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<tr>
<td></td>
<td>• Submit Letter of Intent (LOI) directly to sponsor, if required</td>
<td></td>
<td>• Provide instructions on F&amp;A waivers as needed</td>
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<td></td>
<td>• Provide main point of contact for subcontractor, if subrecipients are included in the budget</td>
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<td>• Apply sponsor required cost sharing requirements</td>
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<td></td>
<td>• Approve any delegates for authority to respond on the PI’s behalf, and communicate their contact information to CGMT via email—cc the delegate for awareness [certain tasks cannot be delegated, i.e. systematic attestations (e.g. SPS, Closeout) and rebudgeting approvals]</td>
<td></td>
<td>• Communicate with subrecipient to request:</td>
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<td></td>
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<td>o Budget and justification</td>
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<td>o Statement of Work</td>
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<td>o Commitment Letter</td>
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<td>o Any other sponsor documents</td>
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Consistent communication during the proposal development process is critical for all parties involved. Adherence to Duke and Sponsor guidelines is critical.
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| Create Budget            | • Provide categorical budget information required for CGMT to develop budget  
• Partner with CGMT to develop budget justification, i.e. providing input on staff project roles, consultants, and travel details  
• Approve final budget and budget justification                                                                                       | If Applicable:  
• Approve request for cost sharing form                                                                                                                                                   | • Develop project budget with input received from the PI  
• Confirm/obtain salary, fringe benefit rates and F&A rates to be included in the project budget  
• Review budget categories ensuring compliance with sponsor terms and conditions  
• Complete the sponsor budget forms                                                                                                                                                           |
|                          |                                                                                                                                                                                                                      | If Applicable:  
• Complete request for cost sharing form; submit to department for signature  
• Review subcontractors’ budget forms for consistency with the instructions and sponsor guidelines                                                                                   |                                                                                                                                                                                                                      |
| Review and Submit Proposal | • For proposals not submitted by ORS, the PI will submit via the appropriate sponsor portal or e-mail  
• Assist CGMT with obtaining access to sponsor portals, if needed. (Do not share PI log-in and passwords due to Duke’s confidentiality policy)  
• Complete Proposal Attestation in myRESEARCHhome                                                                                   | • Review budget to ensure alignment with departmental capabilities  
• Approve SPS records to allow submission based on internal and sponsor deadlines                                                                                                           | • Route SPS records and secure institutional signatures as needed  
• Assist the PI with formatting and uploading documents to the sponsor portal  
• Upload document via sponsor portal, if PI provides unique log in access  
• IF proposal documents are final and SPS record is approved 24 hours before the sponsor deadline, CGMT can help the PI                                                                 |

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**Service Partnership Agreement**  
Sanford School of Public Policy  
Roles & Responsibilities  
Revised 7/21/2020
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| If Applicable:  
  • If proposal documents are not finalized, or  
    if SPS record is not approved, more than 24 hours before the sponsor deadline, PI is solely responsible for formatting, uploading and submitting documents to sponsor  
  • Provide CGMT a copy of all final documents submitted to the sponsor | | with formatting and uploading documents. (contingent on access)  
  • Maintain a copy of all final documents submitted to the sponsor |
| Pre-Award/Award Setup |  
  • Alert CGMT of any sponsor requests after submission, i.e. Just-In-Time (JIT), Other Support documents, budget or scope revisions  
  • Update COI as needed  
  • Complete Award Attestation in myRESEARCHhome  
  • Initiate IRB/IACUC approvals |  
  • Communicate new faculty hires requiring grant support to CGMT |  
  • Assist in processing sponsors request, i.e. JIT, Other Support documents, budget or scope revisions  
  • New award kick-off meetings to discuss sponsor requirements, Duke Process and report due dates  
  If Applicable:  
  • Request Pre-Award WBSE(s), if needed |
## Post-Award Activities

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| Award Management | • Conduct the research project and provide oversight and stewardship on all research activities  
• Communicate to CGMT project concerns, i.e., programmatic that could change scope/delay the project or financial impacts. Proactively manage and address issues/concerns early to prevent retroactive changes  
• Obtain interim progress reports from subrecipients to ensure adequate progress  
If Applicable:  
• Approve subrecipient payments, if applicable to project | • Initiate procurement transactions i.e. purchase orders, RSSA(s), Buy@Duke shopping carts, Travel reimbursements, P-Card purchases, and AP Check Request  
• Communicate to CGMT new hires to be paid on grants  
• Process new hire iForms, Supplemental iForms prior to monthly payroll/school deadlines  
• Remove all personnel on “Leave without Pay” status to a non-sponsored funding sources  
• Communicate to CGMT secondary time cards with effort on grants  
• Manage employee time reporting, time card approvals  
• Review and approve Cost Distribution iForms completed by the CGMT, ensuring forms are processed and approved timely  
• Request prior approval of any iForm submissions initiated by anyone other than CGMT | • Review master administrative data for all projects ensuring projects are established in Duke’s systems correctly i.e. correct dates, award amount, F&A rates  
• Assist in gathering vendor forms for RSSAs as needed  
• Reconcile all awards monthly with timely corrections to any identified errors  
• Initiate cost distribution iForm changes as required  
• Provide PI with financial reports by the 25th of each month for the last closed fiscal month  
• Review and approve workflow transactions, initiated by the department and project transactions in a timely manner |
| Project Management | • Meet with CGMT monthly to review portfolio addressing financial and project status  
• Review financial reports with CGMT to address any funding or project concerns | • Ensure institutional compliance with annual effort certifications for PI/staff (ECERT) | • Meet monthly with PI to address financial and project status, including projections and future financial impacts/needs  
• Confirm monthly effort distributions on projects to eliminate the need for untimely cost distributions changes |
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|                          | • Confirm monthly effort distributions for all staff paid on projects to eliminate the need for untimely cost distribution changes  
• Submit programmatic report to sponsor in timely manner |                                                                                             | • Review cash management (Accounts Receivable, Deposit Reconciliation) as part of project financial review  
• Elevate concerns to the PI, department and central office partners to reduce institutional financial risk  
• Provide PI with reporting deadlines  
• Assist PI with administrative/financial details required for programmatic reporting |                                                                                             |
|                          | If Applicable:  
• Assist CGMT in categorizing project expenditures for sponsor specific financial reporting as needed  
• Engage CGMT when project will require a no cost extension |                                                                                             |                                                                                     |
| Project Closeout         | • Timely review and approval of PI Attestations  
• Timely submission of all final technical/programmatic reports to the sponsor | If Applicable:  
• Confirm WBSE backstop codes for overdrafts/fixed price residual balances  
• Remove all personnel from projects paid on secondary time cards | • Ensure all project cost are distributed to the award  
• Timely Closeout sponsored projects to ensure institutional compliance with financial reporting |
|                          |                                                                                   |                                                                                             | If Applicable:  
• If overdraft, confirm backstop code assigned to project WBSE(s)                         |