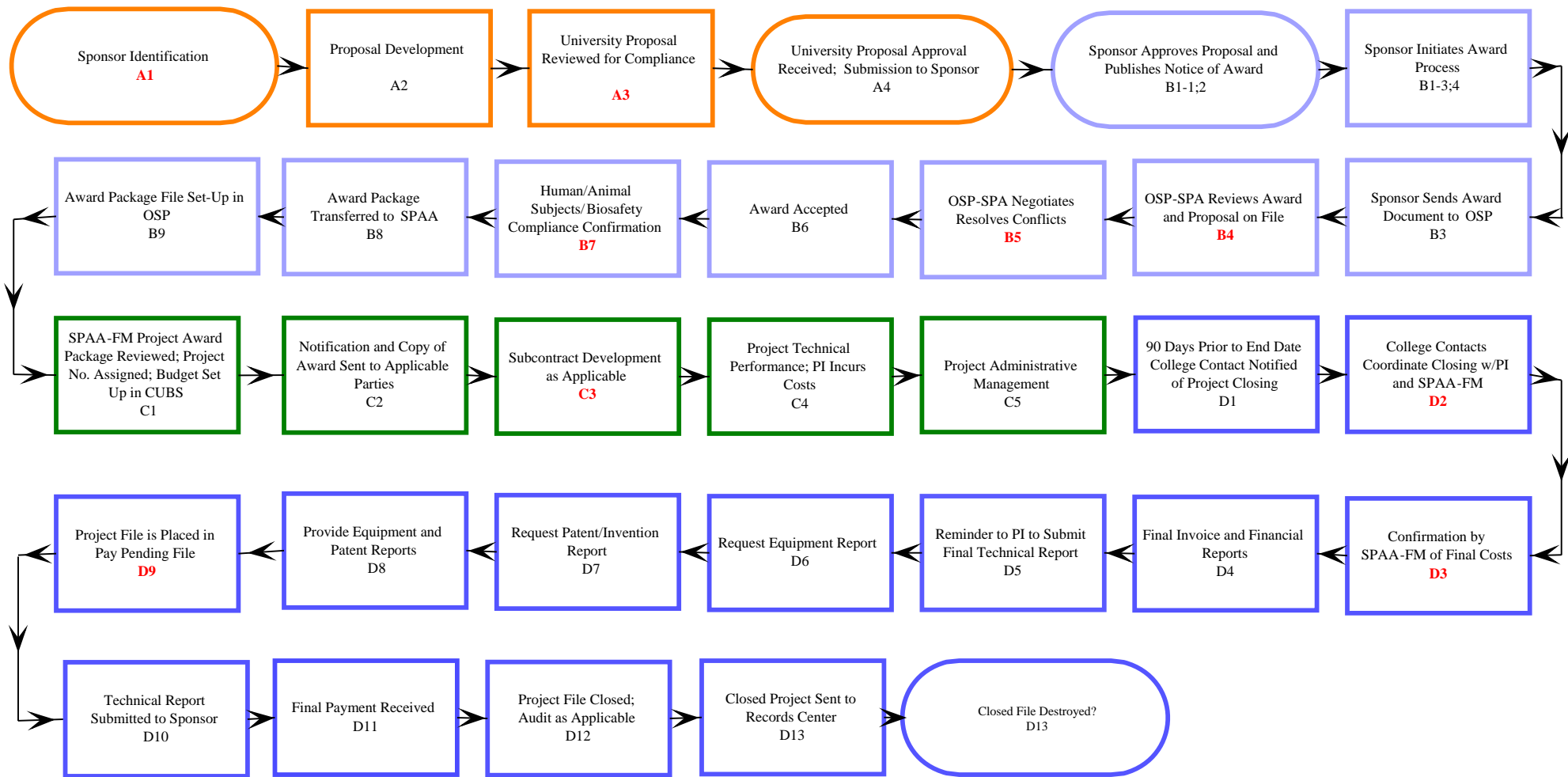


Sponsored Programs Activity High Level Flow

3/3/09



OSP = Office of Sponsored Programs (PreAward)
 OSP-SPA= OSP's Sponsored Programs Administrator
 OSP-DS= OSP's Database Specialist
 SPAA= Sponsored Programs Accounting & Administration (PostAward)
 SPAA-FM= SPAA's Fiscal Manager
 PI= Principal Investigator
 CGA= College Grants Administrator
 CFM = College Fiscal Manager
 ADR= Associate Dean for Research
 CURF- Clemson University Research Foundation
 ORC=Office of Research Compliance
 AdPg= Award Package
 CUBS=Clemson University Business Systems
 SOW= Scope of Work
 Sub-Doc= Sub-Award Document
 PPF=Proposal Processing Form
 MOU=Memorandum of Understanding
 Colored Alpha Numbered Steps Represents a Sub-Routine, i.e A1, A3, etc.

SPONSORED PROGRAMS ACTIVITY STEP PROGRESSION

03/03/09

Step	Step Description	Responsible	Assistance	Approvals	Document	Doc Retention	Recipient of Information
A1-1	Sponsor has been identified to fund a research concept	PI	Professional contact; OSP SPIN; CGA; ADR; VPR&ED	none	none	none	
A1-2	If private industry, Mutual Non-Disclosure Agreement (MNDA) and/or Material Transfer Agreement (MTA)	PI	Sr. Contract Advisor; OSP-SPA	VPR &ED	MNDA or MTA	Sr. Contract Advisor	Sponsor; OSP
A2-1	Proposal development; Principal Investigator (PI) contacts College Grant Administrator (CGA)	PI	CGA; OSP-SPA		OSP Proposal Processing Form (PPF); technical scope; budget	OSP--Electronic file in InfoEd	
A2-2	CGA on an as-needed basis contacts Office of Sponsored Programs Administrator (OSP-SPA)	CGA	OSP-SPA		Notes	OSP--Electronic file in InfoEd	
A3-1	CGA initiates formal University review and approval	PI; CGA	CGA; OSP-SPA	Dept. Chair; ADR ; OSP-SPA; VPR&ED	Formal proposal	OSP--Electronic file in InfoEd	
A3-2	OSP certified college and proposal within certification authority?	CGA; ADR		Dept. Chair; ADR; CGA	Formal proposal	OSP--Electronic file in InfoEd	
No, then	CGA forwards to OSP-SPA for review and approval	CGA; OSP-SPA		Dept. Chair; ADR; OSP-SPA; VPR&ED			
Yes	Next two steps are by certified office	Certification Agreement					
A3-3	Proposal in compliance? (Sponsor guidelines; financial and university policy; human and/or animal subjects and/or bio-safety compliant)	PI; CGA; OSP-SPA	Research Compliance; SPAA; Purchasing; Sponsor				
A4-1	Proposal submitted to sponsor	PI; CGA; OSP-SPA	CGA; OSP-SPA	VPR&ED	Formal proposal	OSP--Electronic file in InfoEd ; College	Sponsor
A4-1	If CURF? Proposal submitted to sponsor	CURF; CGA; OSP-SPA	CGA; OSP-SPA	VPR&ED; CURF Executive Director	Formal proposal	OSP--Electronic file in InfoEd ; College	Sponsor
B1-1	Sponsor approves proposal	Sponsor		Sponsor (Technical)	Proposal		
B1-2	Sponsor notifies recipient	Sponsor		Sponsor (Financial)	Proposal		
B1-3	Sponsor initiates award process; contacts University for additional information	Sponsor	OSP-SPA; PI; CGA		Formal proposal as reference	OSP--Electronic file in InfoEd	
B1-4	OSP-SPA coordinates additional information request from sponsor	OSP-SPA	CGA; PI		Formal proposal as reference	OSP--Electronic file in InfoEd	

SPONSORED PROGRAMS ACTIVITY STEP PROGRESSION

03/03/09

Step	Description	Responsible	Assistance	Approvals	Document	Doc Retention	Recipient of Information
B3-1	Sponsor sends award to University--primarily to the OSP	Sponsor; OSP-SPA			Grant; Coop Agreement; Contract; MOU		
B4-1	OSP-SPA reviews award	OSP-SPA			Award document and formal proposal		
B4-2	Conflicts?	OSP-SPA			Award document and formal proposal		
B5-1	OSP- SPA negotiates and resolves with sponsor conflicts in terms and conditions, SOW, budget	OSP-SPA	PI ; CGA; Sr. Contract Advisor; SPAA as appropriate; as-needed assistance		Award document and formal proposal		
B5-2	Conflict resolved?	OSP-SPA; PI; Sr. Contract Advisor	CGA; SPAA; ADR		Award document and formal proposal		
B6-1	If CURF, OSP-SPA prepares CURF Performance Agreement	OSP-SPA; CURF Executive Director	OSP-SPA	CURF Executive Director	CURF Performance Agreement		
B6-2	Award acceptance; OSP-SPA coordinates signature on award doc and enters data into InfoEd	OSP-SPA		VPR&ED	Award document	Copy OSP InfoEd and file created	
B6-3	Award package to the OSP Database Specialist (OSP-DS)	OSP-SPA	OSP-DS		Award document formal proposal reviewer check sheet; Sponsor guidelines; notes of special attention		OSP-DS
B7-1	Animal or Human Subjects noted on yellow sheet or PPF?	OSP-DS					
B7-2	Compliance approvals completed?	OSP-DS					
B7-3	OSP-DS notifies Office of Research Compliance(ORC)	OSP-DS					ORC
B7-4	When compliance approvals completed, ORC notifies OSP-DS	ORC Committee Coordinator	PI	Respective Compliance Committee			
B8-1	Award package electronically transferred to Sponsored Programs Accounting and Administration (SPAA) for CUBS project set-up	OSP-DS			Award document formal proposal reviewer check sheet; Sponsor guidelines; notes of special attention	OSP-InfoEd	SPAA-FM
B9-1	Award package file set-up in OSP project files	OSP-DS	Students		Award document formal proposal reviewer check sheet; Sponsor guidelines; notes of special attention	OSP	All OSP personnel for future reference

SPONSORED PROGRAMS ACTIVITY STEP PROGRESSION

03/03/09

Step	Step Description	Responsible	Assistance	Approvals	Document	Doc Retention	Recipient of Information
C1-1	SPAA Fiscal Manager (SPAA-FM) reviews AdPg for subclass assignment, billing and reporting requirements, budget, etc.	SPAA-FM			Award document formal proposal reviewer check sheet; Sponsor guidelines; notes of special attention		
C1-2	Project number assigned; budget entered into CUBS; project file set up	SPAA-FM	OSP-SPA		CUBS	University; SPAA	CUBS
C2-1	Award notice; copy of award emailed	SPAA-FM	CFM; Dept. Adm.		Award document; Award notification with Project No.		PI : CFM; Dept. Adm.; OSP-DS
C3-1	If Sub-agreement?	OSP-SPA	PI	VPR&ED	Sub-agreement; sub's proposal; budget from formal proposal	OSP; SPAA	
C3-2	OSP-SPA prepares sub-award document (Sub-Doc); sends to sub-recipient	OSP-SPA	PI				
C3-3	OSP-SPA negotiates conflicts as needed	OSP-SPA	Sr. Contract Advisor; PI; CGA; SPAA				
C3-4	Conflict resolved?	OSP-SPA					
C3-5	Fully executed sub-agreement received by OSP-SPA	OSP-SPA		VPR&ED	Sub-agreement; sub's proposal; budget from formal proposal	OSP; SPAA; Sub-recipient	
C3-6	Sub-Doc transferred to SPAA	OSP-SPA					SPAA-FM for Project file; PI
C3-7	SPAA-FM sets-up Purchase Order for sub-agreement	SPAA-FM			PO document	SPAA; CUBS	
C4-1	Project Technical Performance; PI incurs costs	PI; Sponsor			Lab notes; technical info; Technical Interim Reports	PI	
C5-1	Project Administrative Management	PI; SPAA-FM; CFM	SPAA-FM; CFM; OSP-DS		CU invoices; Payroll; vendor invoices	SPAA, College, Dept.	
C5-2	PI coordinates necessary payroll—sets -up with SPAA-FM, Dept. Adm., CFM	PI	SPAA-FM; CFM; Dept. Adm.	PI	Payroll documentation	College; Dept.; University	CUBS-HR
C5-3	SPAA-FM receives sub-recipient 's invoices, sends to PI for approval to pay	SPAA-FM		PI	Invoice from sub-recipient	SPAA	PI
C5-4	PI reviews sub-recipient's invoice, approves returns to SPAA-FM	PI			Invoice	SPAA; PI	
C5-5	SPAA-FM initiates payment to sub-recipient	SPAA-FM					
C5-6	PI reviews vendor invoices, identifies associated project, gives invoices to department unit personnel	PI	Dept. Unit Personnel; CFM	PI; CFM; SPAA-FM			

SPONSORED PROGRAMS ACTIVITY STEP PROGRESSION

03/03/09

Step	Step Description	Responsible	Assistance	Approvals	Document	Doc Retention	Recipient of Information
C5-7	Departmental unit personnel enter vouchers to CUBS from vendor invoices that generate information for expenditure reports	PI; Dept. Unit Personnel	CFM; SPAA-FM		PI Report, Budget Status Report, Sponsor Financial Reports (i.e. SF 269)	Dept. unit; College	
C5-8	Expenditures monitoring resolves any expenditure issue discrepancies	PI; Dept. Unit Personnel	CFM; SPAA- FM	SPAA Director; CFM	Corrected journal entries; Payroll corrections	Dept.	CUBS
C5-9	SPAA-FM runs financial reports based on expenditures reported in CUBS	CFM; Dept. Unit Personnel	PI; SPAA-FM		Budget Status Reports	College or Dept.	PI; Dept. Unit Personnel
C5-10	Financial report as appropriate and invoices submitted to Sponsor	SPAA- FM			Financial report; invoice	SPAA	Sponsor
C5-11	Payment from Sponsor received	Sponsor; CU Accounts Receivable; SPAA- F M			Checks; EFT; wire transfers	CUBS; SPAA; Accounts Receivable	CUBS
C5-12	Appropriate project account credited	Sponsor; CU Accounts Receivable; SPAA- F M			Journal entries; receipt transmittals	SPAA; University	CUBS
C5-13	Budget amendments	PI	CFM; Dept. Unit Personnel	SPAA--FM	Budget amendment	SPAA; College	CUBS
D1-1	Close out initiated 90 days prior to end date of record for project	SPAA Information Resources Consultant			Listing of all project closings	SPAA Website	CFM
D2-1	CFM or SPAA- College Contact as applicable, coordinate closing proceedings with PI	PI; CFM;SPAA-College Contact; SPAA-FM	SPAA-FM				
D3-1	Confirmation of final costs	SPAA-FM	CFM				
	CUBS Project Number LOCKED	SPAA-FM	CFM				
D4-1	Final invoices and financial reports	SPAA-FM	CFM		Invoices and financial reports as appropriate	SPAA	Sponsor
D5-1	Reminder to PI to submit final technical report	SPAA-FM					
D6-1	Request equipment report	SPAA-FM	PI		Equipment report	SPAA; Sponsor	Sponsor
D7-1	Request patent invention	SPAA-FM	PI; Tech Transfer		Patent report	SPAA; Sponsor	Sponsor
D8-1	Provide equipment and patent reports to sponsor	SPAA-FM	PI; Tech Transfer		Equipment report; patent reports	SPAA; Sponsor	Sponsor
D9-1	Project file placed in pay pending	SPAA-FM			Project file	SPAA	

SPONSORED PROGRAMS ACTIVITY STEP PROGRESSION

03/03/09

Step	Step Description	Responsible	Assistance	Approvals	Document	Doc Retention	Recipient of Information
D10-1	Technical report prepared and submitted with copy to SPAA-FM	PI			Technical Report	PI and Electronic file in InfoEd	Sponsor and SPAA-FM
D11-1	Final payment received?	SPAA-Cash Manager	SPAA-FM				
	Yes--Payment received	SPAA-FM					
D11-2	File placed in closing drawer	SPAA-FM			Project File	SPAA	Auditors as applicable
D11-3	Non-payment issues; resolution?	SPAA-Cash Manger SPAA Director	PI; Dept. Chair; ADR CFM;				
D11-4	File reviewed for completeness	SPAA-Cash Manager	SPAA-FM				
D12-1	Project file closed					SPAA for 3 years	
D13-1	Closed file to records center	SPAA-FM				University Records Center for 1 year	

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