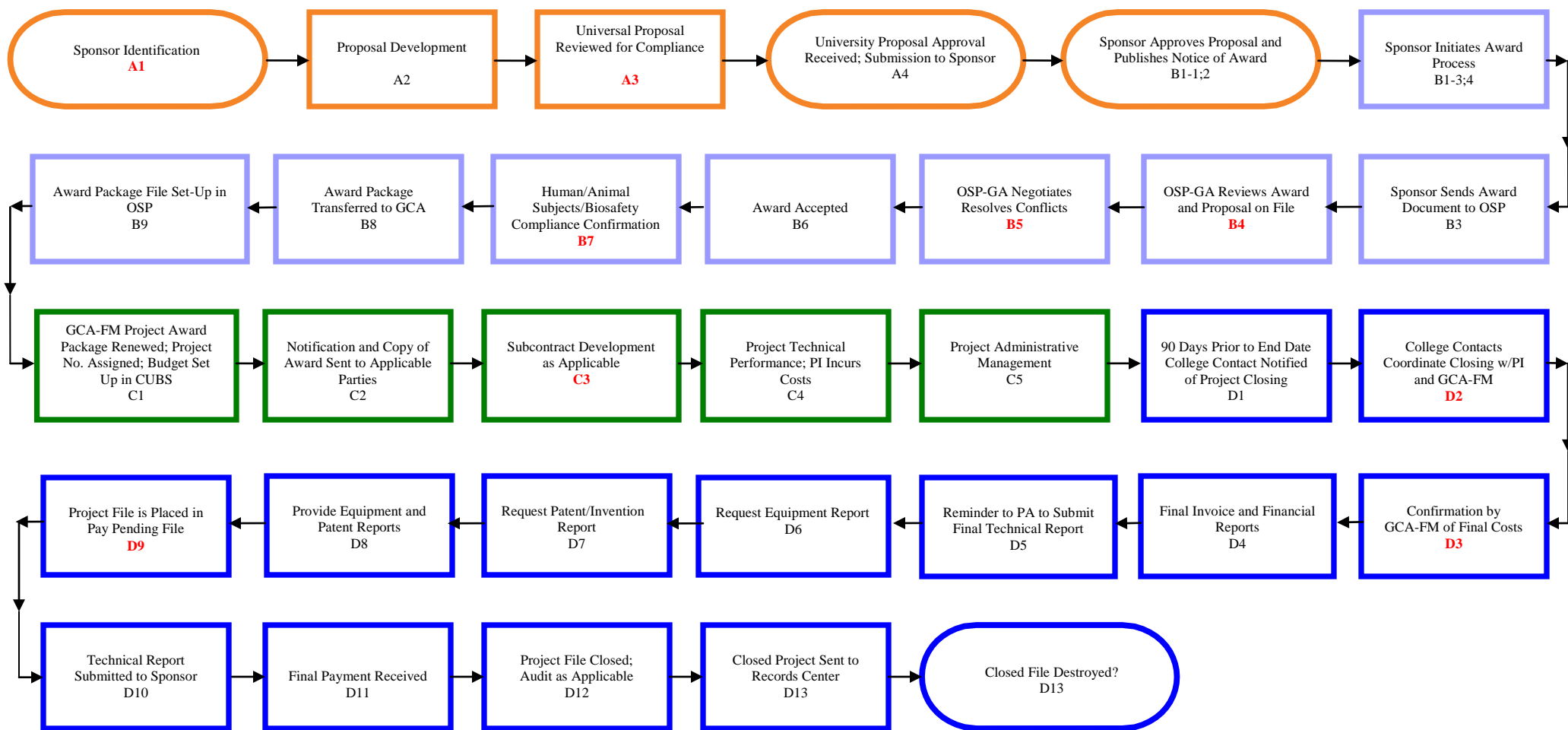


Sponsored Programs Activity High Level Flow Chart

3/3/09



OSP = Office of Sponsored Programs (PreAward)
 OSP-GA = Office of Sponsored Programs Grants Administrator
 OSP-DS = OSP's Database Specialist
 GCA = Grants and Contracts Administrator
 GCA-FM = GCA's Fiscal Manager
 PI = Principal Investigator
 CGC = College Grants Coordinator
 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 Re 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; CGC; 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-GA	VPR &ED	MNDA or MTA	Sr. Contract Advisor	Sponsor; OSP
A2-1	Proposal development; Principal Investigator (PI) contacts College Grant Administrator (CGC)	PI	CGC; OSP-GA		OSP Proposal Processing Form (PPF); technical scope; budget	OSP--Electronic file in InfoEd	
A2-2	CGC on an as-needed basis contacts Office of Sponsored Programs Administrator (OSP-GA)	CGC	OSP-GA		Notes	OSP--Electronic file in InfoEd	
A3-1	CGC initiates formal University review and approval	PI; CGC	CGC; OSP-GA	Dept. Chair; ADR ; OSP-GA; VPR&ED	Formal proposal	OSP--Electronic file in InfoEd	
A3-2	OSP certified college and proposal within certification authority?	CGC; ADR		Dept. Chair; ADR; CGC	Formal proposal	OSP--Electronic file in InfoEd	
No, then	CGC forwards to OSP-GA for review and approval	CGC; OSP-GA		Dept. Chair; ADR; OSP-GA; 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; CGC; OSP-GA	Research Compliance; GCA; Purchasing; Sponsor				
A4-1	Proposal submitted to sponsor	PI; CGC; OSP-GA	CGC; OSP-GA	VPR&ED	Formal proposal	OSP--Electronic file in InfoEd ; College	Sponsor
A4-1	If CURF? Proposal submitted to sponsor	CURF; CGC; OSP-GA	CGC; OSP-GA	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-GA; PI; CGC		Formal proposal as reference	OSP--Electronic file in InfoEd	
B1-4	OSP-GA coordinates additional information request from sponsor	OSP-GA	CGC; 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-GA			Grant; Coop Agreement; Contract; MOU		
B4-1	OSP-GA reviews award	OSP-GA			Award document and formal proposal		
B4-2	Conflicts?	OSP-GA			Award document and formal proposal		
B5-1	OSP- GA negotiates and resolves with sponsor conflicts in terms and conditions, SOW, budget	OSP-GA	PI ; CGC; Sr. Contract Advisor; GCA as appropriate; as- needed assistance		Award document and formal proposal		
B5-2	Conflict resolved?	OSP-GA; PI; Sr. Contract Advisor	CGC; GCA; ADR		Award document and formal proposal		
B6-1	If CURF, OSP-GA prepares CURF Performance Agreement	OSP-GA; CURF Executive Director	OSP-GA	CURF Executive Director	CURF Performance Agreement		
B6-2	Award acceptance; OSP-GA coordinates signature on award doc and enters data into InfoEd	OSP-GA		VPR&ED	Award document	Copy OSP InfoEd and file created	
B6-3	Award package to the OSP Database Specialist (OSP-DS)	OSP-GA	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 (GCA) for CUBS project set-up	OSP-DS			Award document formal proposal reviewer check sheet; Sponsor guidelines; notes of special attention	OSP-InfoEd	GCA-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	GCA Fiscal Manager (GCA-FM) reviews AdPg for subclass assignment, billing and reporting requirements, budget, etc.	GCA-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	GCA-FM	OSP-GA		CUBS	University; GCA	CUBS
C2-1	Award notice; copy of award emailed	GCA-FM	CFM; Dept. Adm.		Award document; Award notification with Project No.		PI : CFM; Dept. Adm.; OSP-DS
C3-1	If Sub-agreement?	OSP-GA	PI	VPR&ED	Sub-agreement; sub's proposal; budget from formal proposal	OSP; GCA	
C3-2	OSP-GA prepares sub-award document (Sub-Doc); sends to sub-recipient	OSP-GA	PI				
C3-3	OSP-GA negotiates conflicts as needed	OSP-GA	Sr. Contract Advisor; PI; CGC; GCA				
C3-4	Conflict resolved?	OSP-GA					
C3-5	Fully executed sub-agreement received by OSP-GA	OSP-GA		VPR&ED	Sub-agreement; sub's proposal; budget from formal proposal	OSP; GCA; Sub-recipient	
C3-6	Sub-Doc transferred to GCA	OSP-GA					GCA-FM for Project file; PI
C3-7	GCA-FM sets-up Purchase Order for sub-agreement	GCA-FM			PO document	GCA; 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; GCA-FM; CFM	GCA-FM; CFM; OSP-DS		CU invoices; Payroll; vendor invoices	GCA, College, Dept.	
C5-2	PI coordinates necessary payroll—sets -up with GCA-FM, Dept. Adm., CFM	PI	GCA-FM; CFM; Dept. Adm.	PI	Payroll documentation	College; Dept.; University	CUBS-HR
C5-3	GCA-FM receives sub-recipient 's invoices, sends to PI for approval to pay	GCA-FM		PI	Invoice from sub-recipient	GCA	PI
C5-4	PI reviews sub-recipient's invoice, approves returns to GCA-FM	PI			Invoice	GCA; PI	
C5-5	GCA-FM initiates payment to sub-recipient	GCA-FM					
C5-6	PI reviews vendor invoices, identifies associated project, gives invoices to department unit personnel	PI	Dept. Unit Personnel; CFM	PI; CFM; GCA-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; GCA-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; GCA- FM	GCA Director; CFM	Corrected journal entries; Payroll corrections	Dept.	CUBS
C5-9	GCA-FM runs financial reports based on expenditures reported in CUBS	CFM; Dept. Unit Personnel	PI; GCA-FM		Budget Status Reports	College or Dept.	PI; Dept. Unit Personnel
C5-10	Financial report as appropriate and invoices submitted to Sponsor	GCA- FM			Financial report; invoice	GCA	Sponsor
C5-11	Payment from Sponsor received	Sponsor; CU Accounts Receivable; GCA- F M			Checks; EFT; wire transfers	CUBS; GCA; Accounts Receivable	CUBS
C5-12	Appropriate project account credited	Sponsor; CU Accounts Receivable; GCA- F M			Journal entries; receipt transmittals	GCA; University	CUBS
C5-13	Budget amendments	PI	CFM; Dept. Unit Personnel	GCA--FM	Budget amendment	GCA; College	CUBS
D1-1	Close out initiated 90 days prior to end date of record for project	GCA Information Resources Consultant			Listing of all project closings	GCA Website	CFM
D2-1	CFM or GCA- College Contact as applicable, coordinate closing proceedings with PI	PI; CFM;GCA- College Contact; GCA-FM	GCA-FM				
D3-1	Confirmation of final costs	GCA-FM	CFM				
	CUBS Project Number LOCKED	GCA-FM	CFM				
D4-1	Final invoices and financial reports	GCA-FM	CFM		Invoices and financial reports as appropriate	GCA	Sponsor
D5-1	Reminder to PI to submit final technical report	GCA-FM					
D6-1	Request equipment report	GCA-FM	PI		Equipment report	GCA; Sponsor	Sponsor
D7-1	Request patent invention	GCA-FM	PI; Tech Transfer		Patent report	GCA; Sponsor	Sponsor
D8-1	Provide equipment and patent reports to sponsor	GCA-FM	PI; Tech Transfer		Equipment report; patent reports	GCA; Sponsor	Sponsor
D9-1	Project file placed in pay pending	GCA-FM			Project file	GCA	

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 GCA-FM	PI			Technical Report	PI and Electronic file in InfoEd	Sponsor and GCA-FM
D11-1	Final payment received?	GCA-Cash Manager	GCA-FM				
	Yes--Payment received	GCA-FM					
D11-2	File placed in closing drawer	GCA-FM			Project File	GCA	Auditors as applicable
D11-3	Non-payment issues; resolution?	GCA-Cash Manger GCA Director	PI; Dept. Chair; ADR CFM;				
D11-4	File reviewed for completeness	GCA-Cash Manager	GCA-FM				
D12-1	Project file closed					GCA for 3 years	
D13-1	Closed file to records center	GCA-FM				University Records Center for 1 year	

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