

ATTACHMENT 2

| | College/Institute/Center | | | | Research, Commercialization & | | TAMUCC | TAMUS | | |
|--|--------------------------|---------------------------------|-----------|---------------|-------------------------------|----------------|------------------------|-----------------|-----|-------|
| | PI | Business Coordinator/Manager | Dept Head | Dean/Director | OSRS | Vice President | VP Finance/Comptroller | SRS (Pre-Award) | OGC | Other |
| Proposal Preparation/Submission | | | | | | | | | | |
| 1. Reviews requests for proposals for technical requirements | O | | | | C | | | C | | |
| 2. Reviews requests for proposals for institutional compliance | C | C | | | O | | | O | | |
| 3. Prepares technical proposal | O | C | | | | | | C | | |
| 4. Reviews proposed project to verify that it is in line with departmental and institutional mission | C | C | O | O | | | | C | | |
| 5. Develops initial budget draft to accomplish proposed scope of work | O | C | | | | | | C | | |
| 6. Reviews budget for appropriate salaries, fringes, tuition, indirects and escalations | C | C | | | O | | | O | | |
| 7. Requests and documents approval for cost sharing; provides documentation for cost sharing and reviews and approves mandatory and required cost sharing. | C | C | C | C | | C | O | | | |
| 8. Prepares final version of proposal as required by the sponsor and submits for approval. | O | C | | | | | | C | | |
| 9. Completes and routes all forms for college/department/RCO approval. | O | C | C | C | C | | | C | | |
| 10. Requests and documents university signature approvals of internal routing forms and, as appropriate, other attachments. Routes all forms for university approval. | | | | C | | C | C | O | | |
| 11. Provides proposal to SRS (pre-award) in advance of sponsor deadline. | O | C | | | | | | | | |
| 12. Provides authorized university signature for proposal submission. | | | | | C | O | | | | |
| 13. Submits proposal as dictated by sponsor instructions. | | | | | | | | O | | |
| 14. Negotiates material transfer, confidentiality agreements, and intellectual property. | C | C | C | C | O | | | C | O | |
| 15. Negotiates sponsored research agreements. | C | C | | | O | | | | C | |
| 16. Maintains proposal pending files and database. | | | | | O | | | C | | |
| Award Negotiation, Acceptance and Establishment | | | | | | | | | | |
| 1. Negotiate, approve, and notify the PI of project terms and conditions. | C | C | | | O | C | | | | |
| 2. Accept award on behalf of university. Establish account in FAMIS system based on award documentation. Send synopsis and copy of award letter (i.e. notice of award) to PI and appropriate department support (e.g. business coordinator/manager). | | | | | O | C | | | | |

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| 3. Provide documentation of certifications of approvals to sponsors. | C | | | | O | | | | | |
| 4. Initiate request for sub-award. | C | C | | | O | | | | | |
| 5. Develop, draft, negotiate and establish sub-award. | C | C | | | O | | | | C | |
| Effort Reporting | | | | | | | | | | |
| 1. Provide information on compliance with effort reporting policy. | | | | | O | | | | | |
| 2. Certify time and effort reports including approving certification of other personnel. | O | C | | | C | | | | | |
| 3. Collect and verify compliance with effort reporting policy. | | | | | O | | | | | |
| 4. Manage time and effort reporting system and maintain certifications of time and effort reports. | C | C | | | O | | | | | |
| Managing the Award - Financial | | | | | | | | | | |
| 1. Verifies allowability, reasonableness, allocability, and consistency of expenditures. | O | C | | | C | | | | | |
| 2. Provides oversight of sponsored project administration including the review and approval of cost transfers and effort reporting. | O | C | | | O | | | | | |
| 3. Initiates and encumbers personnel transactions. | C | O | | | C | | | | | |
| 4. Certifies cost sharing and provides to post-award. | C | O | | | C | | | | | |
| 5. Reviews and reports cost sharing to sponsor. | C | C | | | O | | | | | |
| 6. Reviews expenditures in restricted budget categories. | C | O | | | C | | | | | |
| 7. Initiates requests for rebudgeting and cost transfers. | O | O | | | C | | | | | |
| 8. Approves requests for rebudgeting and cost transfers according to sponsor requirements. | C | C | | | O | | | | | |
| 9. Initiates no-cost time extension. | O | C | | | C | | | | | |
| 10. Reviews, approves, and submits request for no-cost time extensions. | | | | | O | | | | | |
| 11. Approves payment of sub-recipient invoices (including certification on final invoice for agreement with completion of sub-recipient's work) | O | C | | | C | | | | | |
| 12. Prepares and submits all invoices to sponsor. | C | C | | | O | | | | | |
| 13. Performs drawdowns (i.e. letters of credit). | | | | | C | | O | | | |
| 14. Monitors invoices and aging of receivables. | C | C | | | C | | O | | | |
| 15. Performs follow-up on outstanding receivables and determines need for write-off. | C | C | | | O | | C | | | |
| 16. Revenue collection. | | | | | C | | O | | | |
| 17. Applies payment to proper fund. | | | | | C | | O | | | |

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| 18. Reconciles accounts. | C | O | | | C | | C | | | |
| 19. Provide information for and prepare financial reports. | C | C | | | O | | O | | | |
| 20. Review and analyze financial reports to external sponsors. | C | C | | | O | | O | | | |
| 21. Provide interim financial reports to the sponsor. | C | C | | | O | | O | | | |
| Managing the Award - NonFinancial | | | | | | | | | | |
| 1. Conduct the sponsored project. | O | | | | | | | | | |
| 2. Provide overall oversight on all research activities. | | C | C | C | O | C | | | | |
| 3. Hire research personnel for the project. | C | O | | | | | | | | |
| 4. Assign research personnel for the project. | O | | | | | | | | | |
| 5. Initiate material transfer agreements. | O | C | C | C | C | | | | C | |
| 6. Provide oversight on the implementation of university, state, and federal policies and regulations. | C | C | C | C | O | O | C | C | C | C |
| 7. Review programmatic changes to the project. | O | C | | | C | C | | | | |
| 8. Review and approve incoming material transfer agreements. | C | C | C | C | C | C | | | O | |
| Closing the Award | | | | | | | | | | |
| 1. Documents cost sharing funds as required. | | O | | | O | | | | | |
| 2. Respond to closeout checklist and confirm award termination. | O | C | | | C | | | | | |
| 3. Prepares and submits to sponsor final technical report. | O | C | C | C | O | | | | | |
| 4. Prepares and submits to sponsore financial report and final invoice as required. | C | C | | | O | | | | | |
| 5. Inactivate fund. | | | | | O | | | | | |
| 6. File appropriate closeout documentation. | | | | | O | | | | | |