

## College of Agriculture Policy and Procedure Manual

**Number:** 4.02.04, Award Management, Internal funding

**Section:** Business and Finance

**Subsection:** Grants

**Date:** October 26, 2018

**Supersedes:** April 10, 2017

**Responsible Party:** Principal Investigators

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### I. Purpose

This section provides policy and procedure for award management for capacity funding in the College of Agriculture.

### II. Definitions

Banner. Online fiscal management software used by the university.

Capacity Funds. All direct federal land-grant funds and any funds used as a match for federal land-grant funds. Includes, but not limited to, Evans-Allen, Extension, McIntire-Stennis, EFNEP funds.

PARF. Personnel Action Request Form.

PI, Principal Investigator. The lead scientist for a research project and the person accountable and responsible for the execution of the project.

SciQuest. Online business services software used by the university.

Unit Head. The first-level supervisor. Depending on where the employee is stationed, it may be either a Department Head, County Director or Research Center Superintendent.

### III. Policy

- A. Only the Dean can authorize expenditures from Capacity Funds.
- B. All correspondence (*i.e.* budget contract forms, purchase requisitions, travel requisitions, budget revisions, etc.) concerning Capacity Funds is to be routed according to the specifications and tables in this document.
- C. All PARFs for personnel capacity funds are to be initiated by the Dean's Office - Fiscal Analyst.
- D. Funds for salaries are not to be used in a manner different from what is specified in the approved award.
- E. All equipment purchases should be made in the first year of the award.
- F. All persons funded by the award are to submit Semester Activity Reports on the progress/accomplishments of the award.
- G. The college research office will consult with the PI and perform quarterly fiscal reviews of the award. Expenditures made outside the approved award budget may be charged to the PI as a personal expense.
- H. Items requiring formal communication to funding agencies will be communicated from the PI through the office of the Associate Dean for Research.
- I. There is a limit of one budget revision per fiscal year for capacity funds.

#### IV. Procedures

##### A. Establishment of an account number

Account numbers will be established by the Dean's Office and communicated to the PI.

##### B. Establishing approvers for purchase requisitions

Approvers for Capacity Funds are established by the Dean's Office after they have been notified of the account number by the PI.

##### C. Banner Access

After account number establishment, the PI is to establish Banner access to the account so that expenditures may be tracked. The PI prepares a Banner Access Form (available on the college web site, Faculty and Staff Portal) and emails the form to the Dean's Office who forwards it to the Dean. The Dean reviews the form for accuracy and forwards the form to the Vice President, Accounting and Payroll for execution.

##### D. Purchase Requisitions

Requisitions for Capacity Funds are prepared manually on a Capacity Fund Requisition Form. This form is available on the college web site, Faculty and Staff Portal. After preparation by the PI, it is forwarded for approval to the appropriate Associate Dean and the Dean. All necessary quotes, W-9 forms, and other required documentation are to be attached to the requisition at time of submission. Following approval the requisition is entered into SciQuest by the Dean's Office.

##### E. Travel Requisitions

Two forms are required for Travel Requisitions, one is a paper form, one is online. PI prepares a paper Travel Requisition form. All required documentation (lodging confirmation, registration documentation, etc.) are attached to the paper Travel Requisition Form and forwarded to the Appropriate Associate Dean for approval, who then forwards the paper form and documentation to the Travel Office. In addition to the paper form, an online Travel Requisition is also submitted through SciQuest. In the submission, the Appropriate Associate Dean, the Dean, and appropriate Grants and Accounting representative are to be listed as approvers of the requisition. The Travel Office may ask that additional persons approve the online requisition.

##### F. Travel Reimbursement

PI prepares a paper Travel Claim form and attaches all required receipts and documentation. The claim form is routed to the Appropriate Associate Dean for approval and then to the Travel Accounting Clerk in the university Financial Services office for processing.

##### G. Budget Revisions

Should a budget revision become necessary for an external grant the PI prepares a Budget Revision Form. The transfer of funds out of salary obligations is not

permitted. The Budget Revision Form is routed to the to the appropriate Associate Dean, the college business office, and the Dean. After review and approval by the Dean, the form is sent to the Grants Office for execution.

Only one Budget Revision per fiscal year is permitted for capacity funds.

**H. Fiscal Reports**

Preparation and submission of fiscal reports for external grants are the responsibility of the Grants Accounting office.

**I. Progress Reports**

Preparation and submission of progress reports (non-fiscal) for capacity funds are the responsibility of the PI.

**Summary Table of Procedures, Capacity Funds**

<b>Item</b>	<b>Initiator</b>	<b>Primary Approval</b>	<b>Secondary Approval</b>	<b>Final Execution</b>
New Account Number	College Business Office			
Establishing PR Approvers	PI	College Business Office		Procurement
Banner Access	PI	College Business Office	Dean	Accounting and Payroll
Purchase Requisition-Paper	PI	Appropriate Associate Dean	Dean	Procurement
Travel Requisition Part 1 - Paper Form	PI	Appropriate Associate Dean	Dean	Travel Office
Travel Requisition Part 2 - Online Form	PI	Associate Dean and Dean	Grants and Accounting	Travel Office
Travel Reimbursement	PI	Associate Dean		Financial Services (Accounts Payable)
Budget Revision	PI	Appropriate Associate Dean	Dean's Office and Dean	Grants and Accounting
Fiscal Reports				Grants and Accounting
Agency Progress Reports	PI			

**V. Further Information**

Contact your department head or the appropriate Associate Dean. See college website for forms and supplemental information.

**VI. References**

None.