

## College of Agriculture Policy and Procedure Manual

**Number:** 4.02.03, Award Management, External Funding

**Section:** Business and Finance

**Subsection:** Grants

**Date:** February 4, 2021

**Supersedes:** December 12, 2018

**Responsible Party:** Principal Investigators

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### I. Purpose

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

### II. Definitions

**Banner.** Online fiscal management software used by the university.

**External Grants.** Funds (including SNAP-Ed funds) obtained by an employee that do not have a basis in Capacity 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. Grants and agreements received by university employees have to be accepted by the university via the Office of Research and Sponsored Programs. This includes sub-awards from other universities or agencies. The Vice-president for Research is the designated person to sign the agreement accepting the terms and conditions of the award or agreement.

B. The PI is the responsible individual for all matters concerning external grants (non-Capacity Funds).

C. Only the PI can authorize expenditures from external funds.

D. All correspondence (*i.e.* budget contract forms, purchase requisitions, travel requisitions, budget revisions, etc.) concerning external grants is to be routed according to the specifications and tables in this document.

E. Personnel in the college research office (Associate Dean for Research) are available to provide consultation on fiscal and administrative matters concerning external grants.

F. All PARFs for personnel on external grants are to be initiated by the Dean's Office - Fiscal Analyst.

G. Funds for salaries are not to be used in a manner different from what is specified in the approved grant award.

H. All equipment purchases should be made in the first year of the award.

- I. Funded projects are to be executed as approved by the granting agency. Any changes to the approved work plan or budget must be approved by the college research office and the funding agency.
- J. All persons funded by the award are to submit Semester Activity Reports on the progress/accomplishments of the award.
- K. 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.
- M. Items requiring formal communication to funding agencies will be communicated from the PI through the office of the Associate Dean for Research.
- N. In addition to administrative approval from a Unit Head or other administrator at the university, some actions may also require a fiscal review prior to being forwarded for final execution.

#### IV. Procedures

- A. Upon notification from funding agency of award, PI informs the Associate Dean and the college budget office of the award. This can be done when submitting documentation for a grant account number with a Post Award Notification Form (available on the college web site, Faculty and Staff Portal). A copy of the approved proposal and approved budget are to be supplied to the Unit Head and Associate Dean.
- B. Establishment of an account number  
PI prepares a TSU Budget Contract Form according to the budget approved by the funding agency. The form, plus a copy of the award letter, approved agency budget, and Post Award Notification Form is routed by the PI to the Associate Dean in the college research office. The Associate Dean then routes the information to the College Business Office who will review and submit to the university administration for account establishment.
- C. Establishing approvers for purchase requisitions  
After the account number is established, the PI contacts the college budget office to establish approvers for the account. Following approval from the Dean's Office, the list of approvers is forwarded to Procurement. For external grants the approvers are to be: the PI, the Unit Head, the Associate Dean, and the person in charge of fiscal review for the Dean's Office. No other approvers are to be used or added.
- D. Banner Access  
After account number establishment, the PI is to establish Banner access to the account so that expenditures may be tracked. The PI works with their supervisor to request Banner Access according to the procedures outlined by Office of Technology Services. Links to the office and instructions are available on the college web site, Faculty and Staff Portal.
- E. Purchase Requisitions  
The only person authorized to expend funds from an external grant is the PI for that

grant.

PI prepares an online Purchase Requisition in SciQuest and submits it for processing. All necessary quotes, W-9 forms, and other required documentation are to be attached to the requisition at time of submission.

#### F. Travel Requisitions

Travel requisitions must be approved by the Travel Office prior to employee travel. The university is not obligated to reimburse employees for expenses incurred during non-approved or unauthorized travel.

All travel is initiated through the Associate Dean's office. A digital Travel Requisition form is prepared and all required documentation (lodging confirmation, meeting information, Overseas Authorization Form [if needed], employee or student event release, etc.) is attached. The requisition is entered into the SciQuest system for approval by the traveler and traveler's supervisor, appropriate Associate Dean, University Budget Office, and processing by the University Travel Office.

All approvals are to be dated. In the submission, the PI, Unit Head, appropriate Associate Dean, [International Director, if needed] and appropriate Grants and Accounting representative are to be listed as approvers in the comment section of the requisition. For international travel, the college Director of International Programs is also added as an approver. The Travel Office will not approve travel requisitions that do not follow this submission and approval procedure.

#### G. Travel Reimbursement

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

#### H. 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 for review and approval. Following Associate Dean approval, the Budget Revision is sent to the Grants Office for execution.

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

#### I. Sub Awards

A contract to the entity receiving the sub-award funds must be executed. The project PI develops a contract outlining the scope of services, length of contract, and compensation; the university Office of Legal Council may assist with contract templates. A template is also available on the college website. The PI obtains signatures on the contract from the sub-contracted entity and W-9 forms from the sub-contracted entity. The contract (signed by the sub-contract institution), W-9 form from the subcontract institution, and a completed Contract Routing Form are routed for approvals by the Academic Affairs office. Academic Affairs routes it to the Office of University Council who will obtain the President's signature and return the signed

contract to the originating faculty member. When approved by TSU, the contract is entered into SciQuest as a requisition for payment to the receiving institution. It is the PI's responsibility to share complete, signed contracts with the college research office and the sub-contract institution.

**I. Fiscal Reports**

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

**J. Progress Reports**

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

Summary Table of Procedures, External Grants

<b>Item</b>	<b>Initiator</b>	<b>Primary Approval</b>	<b>Secondary Approval</b>	<b>Final Execution</b>
New Account Number	PI	Associate Dean Research	College Business Office	Grants and Accounting
Establishing PR Approvers	PI	College Business Office		Procurement
Banner Access	PI	Unit Head		Accounting and Payroll
Purchase Requisition	PI	Unit Head and Appropriate Associate Dean	Dean's Office	Procurement
Travel Requisition	PI via Unit Head	Associate Dean [International Director, if appropriate]	Grants and Accounting	Travel Office
Travel Reimbursement	PI	Unit Head		Financial Services (Accounts Payable)
Budget Revision	PI	Appropriate Associate Dean	College Business Office and Dean	Grants and Accounting
Sub Awards	PI	Academic Affairs	Office General Counsel / President	PI
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.