

## College of Agriculture Policy and Procedure Manual

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

**Section:** Business and Finance

**Subsection:** Grants

**Date:** September 6, 2022

**Supersedes:** February 11, 2022

**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 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.

##### D. Purchase Requisitions

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.

Note: Prior approval is required for general purpose equipment costing \$5,000 or more and having an anticipated useful life of more than one year. Special purpose equipment does not require prior approval unless it costs \$250,000 or more.

##### E. 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.

##### F. Travel Reimbursement

A Travel Claim form is prepared with all required receipts and documentation attached. 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 internal 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.

**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	Supervisor	Dean	Accounting and Payroll
Purchase Requisition	PI	Appropriate Associate Dean	Dean	Procurement
Travel Requisition	PI via Unit Head	Associate Dean [International Director, if appropriate]	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 unit head or the appropriate Associate Dean. See college website for forms and supplemental information.

## VI. References

None.