

NUMBER: ACAF
SECTION: Academic Affairs
SUBJECT: Grants & Sponsored Awards
DATE: August 17, 2010
REVISED: August 17, 2010
Policy for: USC Upstate
Procedure for: USC Upstate
Authorized by: Dr. Marsha Dowell
Issued by: Dr. Marsha Dowell

I. Policy

The Office of Sponsored Awards and Research Support (SARS) will serve as the single point of contact for faculty, staff and students who are seeking assistance with their research and scholarly endeavors at USC Upstate. SARS will provide the training and development, technical assistance, and administrative support that principal investigators and future principal investigators need to advance their research and scholarship and to build the University's reputation. All grants that are obtained through USC Upstate must follow the proper procedures for carrying out the grant's scope of work as detailed in the project proposal and the terms and condition associated with the award. The Office of Sponsored Awards and Research Support is responsible for following dual functions

- To promote opportunities and assist with applying for grant opportunities
- To assist with the management and financial reporting of the grant operations.

The following policies and procedures are intended to assist grant Principle Investigators (PI) and administrative support staff with accurate and proper management of their grants awards and funds.

A. Human Resources (for grants that include salary or other personnel payments)

Each grant PI is responsible for the preparation and submission of proper documents to hire the staff needed to fulfill the SOW (scope of work) of the grant. All grant personnel must adhere to policies and procedures for hiring developed and implemented by the USC Upstate Office of Human Resources. The individual grant PI will be responsible for understanding these policies and procedures in order to complete the proper hiring documents in a timely manner. There are several forms that are needed to complete the

hiring process and these forms can be located in the Office of Human Resources. All documentation must be approved by the Budget Manager for Academic Affairs located in the Office of Academic Affairs before being sent to the Office of Human Resources. Listed below is the link to the Office of Human Resources

http://www.uscupstate.edu/about_upstate/employment/default.aspx?id=8370

Procedure

- 1.) Grant PI contacts the office of Human Resources to determine the necessary documents for the hiring of all grant personnel.
- 2.) Grant PI completes documents in consultation with the Office of Human Resources.
- 3.) Grant PI sends to department head and/or dean for approval.
- 4.) Grant PI sends hiring documents to Budget Manager for Academic Affairs.
- 5.) Once approved hiring documentation is sent to Office of Human Resources for processing.
- 6.) Grant PI is notified of the processed hiring documents.

B. Purchasing

Please refer to the link below

<http://www.sc.edu/policies/busf700.pdf>

USC Upstate Purchasing Procedures

All of the following procedures have been developed by Sponsored Awards and the Purchasing Department and apply to all grants that are obtained through the USC Upstate Campus. Adhering to these procedures is vital to the effectiveness and efficiency of procurement.

1. Direct Expenditure Voucher
DEV's are used to procure items that otherwise would not be reasonable using a Purchase Order or Purchasing Card and it must be for goods that have been received or for services that have been rendered. Any purchases for goods and services that have not been received or rendered must be accompanied with a Request for Advance Payment form. The dollar thresholds apply to processing of DEVS also. If the total amount of the service or goods exceeds \$2,500, procurement policies and procedures must be followed. (The exception is if it is specifically stated in the grant award.) All expenses incurred that are invoiced should be processed no later than (30) business days of the invoice date or within receipt of the invoice. All expenses submitted after the (30) days will not be signed by the Budget Manager unless a detailed written explanation is provided the reason for the late submission. All DEV's must be signed by the Budget Manager for Academic Affairs before being processed by purchasing. Any DEV that does not have the signature of the Budget Manager for Academic Affairs will not be processed in the Purchasing Office. A checklist will be provided to each grant PI to ensure compliance with the proper authorizations needed to process a

DEV. All signatures must be in the proper place before the DEV can be processed. Any purchases with food or any gifts must always have the personal consumption items form attached with the correct classification code.

- a. The grant PI initiates a purchase for goods or services via DEV and the department head and/or dean authorizes the purchase.
- b. The DEV along with the invoice and/or documentation of the purchase is sent to the Budget Manager for Academic Affairs.
- c. Once the DEV is approved, it is sent to Purchasing for processing.

2. Revolving Fund Request

The Revolving Fund Request is used to reimburse grant PIs for purchases with personal funds in order to complete the SOW of the grant and will be charged to grant. The fund is designed primarily to reimburse for supplies and some rare cases emergency purchases. Travel and Services are prohibited from being reimbursed through the revolving fund. All expenses that can be reimbursed must be processed in (30) business days of the date of expense. All expenses submitted after the (30 days) will not be signed by the Budget Manager unless a detailed written explanation is provided the reason for the late submission. Any purchases with food must always have the personal consumption items form attached with the correct classification code. All reimbursements made with the Revolving Fund Request must have the Budget Manager for Academic Affairs signature to be processed. A checklist will be provided to each unit to ensure compliance with the correct authorizations that are needed to process the Revolving Fund Request.

- a. The Grant PI purchases supplies or food with personal funds for grant purposes.
- b. The Grant PI completes a Revolving Fund Request and attaches receipts that match the reimbursement amount. If food, the personal consumption form is completed with correct classification code and attached.
- c. The department head and/or dean authorizes the reimbursement.
- d. The request with receipts is then sent to the Budget Manager for Academic Affairs.
- e. Once approved, it is sent to purchasing for processing.

3. Purchase Requisitions

A Purchase Requisition is the preferred method of procurement for the university and grants. All current purchasing policies will apply to Purchase Requisitions.

(The exception is if it is specifically stated in the grant award.) Grant PIs should anticipate needs in order to procure items in a timely manner. All purchase requisitions must have the approval of the Budget Manager for Academic Affairs.

- f. The Grant PI initiates a purchase with the Purchase Requisition.
- g. The Grant PI sends Purchase Requisitions and supporting documentation to department head and/or dean for approval. If the purchase is for \$2,500 or more three quotes must be attached.
- h. The department head and/or dean authorizes the purchase.
- i. The request is then sent to the Budget Manager for Academic Affairs.
- j. Once approved, it is sent to purchasing for processing.

4. Purchasing Cards

Purchasing Card is a Visa credit card issued by Bank of America. This purchasing tool offers an effective method for purchasing and paying for supplies with a total value of \$2,500.00 or less. All Grants PIs who obtain purchasing cards will be audited by the Budget Manager for Academic Affairs. The Purchasing Cards will be audited quarterly every fiscal year and a report will be issued to the Senior Vice Chancellor for Academic Affairs. The purpose of the audit is to ensure compliance with all applicable policies and procedures outlined in the Purchasing Card policies and procedures issued by the USC Columbia Campus. Also, the audit is to ensure efficient and effective use of the Purchasing Card and to make sure all purchases fit the SOW of the grant. Any items that can be considered gifts cannot be purchased with the Purchasing Card. The grant PIs who have purchasing cards must comply with the policy and procedures outlined in the Purchasing Card Program Policies and Procedures Manual.

Listed below is the link to the Purchasing Card Program Policies and Procedures Manual

<http://purchasing.sc.edu/ccpp.shtml>

C. Cost Sharing

Matching, cost sharing, cost contribution, in-kind and "buy in" are all terms used to refer to the share of the project costs which are required to be incurred by sources other than the particular sponsoring agency's funds in support of a project. In some programs, these requirements are mandated by legislation or regulation. Grant PIs who have cost sharing requirements must inform the Budget Manger for Academic Affairs after receiving approval of

funds that requires cost sharing. Grant PIs must have cost sharing posted to their grant at the end of the required reporting period. Grant PIs must also be responsible for completing the proper documentation for cost sharing. The Budget Manager for Academic Affairs will process all documentation for cost sharing.

D. Travel

Grant PIs must adhere to the Travel policies and procedures as outlined in the Travel policy

<http://www.sc.edu/policies/busf100.pdf>

Procedures

All travel must be approved before the actual travel occurs. Grant PIs must complete and submit a Travel Authorization form to the Budget Manager for Academic Affairs for approval. Grant PIs should anticipate travel dates in advance to allow processing time of Travel Authorization. The form must be submitted at least (15) business days prior to the anticipated date of travel. The travel must be in direct relation to the SOW of the grant.

Group Travel

Grant PIs plan in advance all expenditures related to group travel. Grant PIs should contact the Budget Manager for Academic Affairs to determine the appropriate methods for processing payments for all costs incurred in relation to the group travel.

E. Cash Advance

Grant PIs must adhere to Cash Advance policies outlined in Cash Advance Policy

<http://www.sc.edu/policies/busf219.pdf>

Procedures

- a. The Grant PI completes the Request for Cash Advance/Gift Cards and sends to department and/or dean for Approval.
- b. The Grant PI sends the Request for Cash Advance/ Gift Cards to the Budget Manager for Academic Affairs for approval.
- c. Once it is approved it is sent to Contracts and Grants Accounting for processing.