Morgan State University Principal Investigator Handbook Part 3: Grant-Related Processes

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OFFICE OF RESEARCH ADMINISTRATION | morgan.edu/ora
DIVISION OF RESEARCH AND ECONOMIC DEVELOPMENT | MORGAN STATE UNIVERSITY

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Acknowledgement:

This document was prepared as a collaboration with colleagues from the Division of Research and Economic Development, the Division of Academic Affairs, and the Division of Finance and Administration. The Office of Research Administration thanks all colleagues who reviewed this document, participated in meetings to verify the correct procedures, and provided valuable comments.

Disclaimer:

This PI Handbook is for training, informational purposes, and a shared understanding of grant-related processes at Morgan State University. Its content does not supersede any University policies or terms and conditions that govern the administration of sponsored awards.

Please send any suggestions to ask.ora@morgan.edu.

An electronic copy of this Handbook is available at the ORA website: www.morgan.edu/ora.

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PRINCIPLES

Morgan State University (MSU) is planning to enhance the efficiency of grant-related processes. This Handbook documents approval queues for grant-related expenditures in a way that they:

- ✓ are consistent with generally accepted accounting practices (internal controls in place);
- ✓ are consistent with State of Maryland and MSU Board of Regents rules and regulations;
- ✓ provide clarity about the roles of each person in the queue;
- ✓ minimize the number of signatures needed, within the boundaries described above;
- ✓ determine a back-up person to sign, when applicable.

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PRE-AWARD

Submitting a Grant Application

Introduction: MSU principal investigators (PIs) may wish to submit grants, cooperative agreements, or contracts to funding agencies. All such applications need to be submitted via the Office of Research Administration (NOT by the PI or the Department).

Notes to PI: Please

- ✓ Determine if this is a limited submission. If so, does the PI have prior permission to submit? See page 8 for Limited Submissions;
- ✓ Read the Funding Opportunity Announcement (FOA) carefully for all of the requirements;
- ✓ Prepare the full package, including biosketches, letters of support, budget, etc.;
- ✓ Submit an internal routing form (IRF). Check the requirements of the IRF, for example see if:
    - Is release time requested and, if so, is there concurrence from the supervisor (e.g., department chair)?
    - Are there any unfunded operations (e.g., unfunded release time, changes in physical space that are not funded, etc.)? If so, can the department support them?
    - Is the budget, including the indirect costs, appropriate?
    - Are there any red flags about the funding agency, the purpose of the work, or other aspects of this research?

Notes to Reviewers: Please

- ✓ Review the grant for requirements and sign if you concur. For example, the grant may need funded or unfunded release time, renovations, cost sharing, etc. This information is typically provided in the internal routing form. **Chair, Dean, AVPs and VPs**
- ✓ If this is a limited submission, make sure that permission has been obtained. **ORA Senior Grants Manager**
- ✓ Review the budget for compliance with the Funding Opportunity Announcement and University requirements. **ORA Budget Specialist**
- ✓ Review the full package for compliance with the funding agency requirements for this submission. **ORA Senior Grants Manager**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI/Initiator		• Reviews the Funding Opportunity Announcement (FOA) very carefully for the scope of work, goals and objectives, allowable and unallowable activities, and allowable and unallowable expenses. If of interest, informs the Chair and ORA that he/she plans to submit a grant.

			• If a limited submission, works with the ORA Assistant Vice President (Farin Kamangar) and Senior Grants Manager (Ailing Zhang) to obtain permission to submit. This should happen at the latest no less than one month before the application deadline. Please see the "Limited Submissions" section below for instruction. • Works with other investigators to prepare the content, biosketches, letters of support, etc. Works with the ORA Budget Specialist to prepare a budget for the grant. Works with the ORA Senior Grants Manager to ensure that all documents are uploaded correctly. • Completes an Internal Routing Form (IRF), which can be found on the Office of Research Administration (ORA) webpage. The purpose is to provide the required information to the chair, dean, and other MSU authorities about the submitted grant. • Provides the ORA with any letters of support that require MSU administration signatures (e.g., AVP, VP or President) no later than 10 days in advance of the submission deadline. Letter templates for "Subaward to MSU Commitment Letter" and "Civil Rights Protections for NIH Grants Letter" are available on the ORA website here. • Notifies ORA if the research will include human subjects or animal research, so that ORA compliance can assist with necessary forms and documentation.
2	Chair		• Reviews and approves the IRF. • May choose to review the grant. Important aspects are prior approval of release time and space requirements.
3	Dean		• Reviews and approves the IRF. • May choose to review the grant. Important aspects are prior approval of release time and space requirements.
4	ORA Budget Specialist	Deshun Li	• Works with the PI to prepare a budget. • Reviews and approves the IRF. • Inputs the budget to the Banner system.
5	ORA Senior Grants Manager	Ailing Zhang	• Works with the PI to obtain all related documents. • Reviews and approves the IRF.

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6	AVP for Research Administration	Farin Kamangar	• Reviews and approves the IRF and other components if need be. • Provides the Institutional Support Letter, if required. • Signs the required forms.
7	ORA Senior Grants Manager	Ailing Zhang	• Submits the grant. • In collaboration with the ORA Budget Specialist, records submission in a database.

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Limited Submissions

Introduction: Limited submissions refers to instances where a limited number of proposals (e.g. only 2 proposals) can be submitted from each institution. In such circumstances, the ORA will determine which proposals will be submitted. It is important to receive permission in order to avoid a potential waste of time and effort.

Notes to the PI: Please

- ✓ Make sure to follow the process below carefully.

Notes to the Reviewers: Please

- ✓ Make sure that if there is a limited submission, appropriate permissions have been obtained.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI		• Reviews the Funding Opportunity Announcement (FOA). • If a limited submission, submits a document with the following information to ORA (Ailing Zhang or Farin Kamangar) at least four (4) weeks in advance of the agency's deadline: ✓ Solicitation number ✓ The project title ✓ The principal investigators (internal and external) and their affiliations ✓ A budget estimate ✓ A description of the required sources of funds ✓ A project summary (1-2 paragraphs) ✓ Curriculum vitae (CV) ✓ Additional supporting information, optional but not required.
2	AVP for Research Administration and ORA Senior Grants Manager	Farin Kamangar and Ailing Zhang	• If the total number of proposals is less than or equal to the quantity of proposals acceptable, accepts all submissions. • If less than four (4) weeks prior to the deadline, accepts proposals for submission on a "first come, first served" basis. • If more than four (4) weeks prior to the deadline, convenes an *ad hoc* committee to determine which proposals to accept.
3	AVP for Research Administration and *ad hoc* committee	Farin Kamangar and *ad hoc* committee	• **Only if more proposals than allowed are submitted and there is more than four (4) weeks' time before the application deadline,**

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			chooses applicants based on the following Selection Criteria: ✓ Relevance to the University's research objectives ✓ Responsiveness to the program guidelines and sponsor's review criteria ✓ Intellectual merit of the proposed project ✓ Appropriateness of the researcher or research team to the proposed project ✓ Presentation of the project ✓ Assessment of the overall best chance of success in the external competition
5	AVP for Research Administration	Farin Kamangar	• Informs applicants whether their proposal was accepted for submission or not
6	Chosen PI(s)		• Submits full proposal as dictated above in the section on “Submitting a Grant Application.” • Neglecting to submit a full proposal to the funding agency by the deadline may result in certain penalties, please see link below for further information: https://www.morgan.edu/office-of-research-administration/pre-award/limited-submission

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Subawards (or Subcontracts) from Other Institutions to MSU

Introduction: MSU principal investigators may wish to receive a subaward from a pass-through agency. All such applications need to be submitted via the Office of Research Administration (NOT by the PI or the Department). The information provided here applies only to subawards (i.e., when the PI is representing the University), but not to consulting (i.e., when the faculty member is representing themselves). For consulting rules, please review the Faculty Handbook.

Notes to PI: Please

- ✓ Make sure that the scope of work is feasible, and the budget is adequate;
- ✓ Prepare the full package, including the scope of work, biosketches, letters of commitment, budget, etc.;
- ✓ Submit an internal routing form (IRF). Check the requirements of the IRF, for example see if:
  - o Is release time requested and, if so, is there concurrence from the supervisor (e.g., department chair)?
  - o Are there any unfunded operations (e.g., unfunded release time, changes in physical space that are not funded, etc.)? If so, can the department support them?
  - o Is the budget, including the indirect costs, appropriate?
  - o Are there any red flags about the funding agency or the pass-through agency, the purpose of the work, or other aspects of this research?

Notes to Reviewers: Please

- ✓ Review the subaward for requirements and sign if you concur. For example, the subaward may need funded or unfunded release time, renovations, cost sharing, etc. This information is typically provided in the internal routing form. **Chair, Dean, AVPs and VPs**
- ✓ Review the budget for compliance with the Funding Opportunity Announcement and the university requirements. **ORA Budget Specialist**
- ✓ Review the full package for compliance with the funding agency requirements for this submission. **ORA Senior Grants Manager**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI/Initiator		• Reviews the Funding Opportunity Announcement (FOA) very carefully for the scope of work, goals and objectives, and allowable and unallowable activities, and allowable and unallowable expenses. If of interest, informs the Chair that he/she plans to partner with another institution as a subawardee. • Works with other investigators to prepare the content, biosketches, letter of support,

			etc. Works with the ORA Budget Specialist to prepare a budget for the grant. • Completes an Internal Routing Form (IRF), which can be found on the Office of Research Administration (ORA) webpage. The purpose is to provide the required information to the chair, dean, and other MSU authorities about the submitted grant.
2	Chair		• Reviews and approves the IRF. • May choose to review the grant.
3	Dean		• Reviews and approves the IRF. • May choose to review the grant.
4	ORA Budget Specialist	Deshun Li	• Works with the PI to prepare a budget. • Reviews and approves the IRF.
5	ORA Contract Specialist	Matthew Lee	• Works with the PI to obtain all related documents and certifications. • Reviews and approves the IRF.
6	AVP for Research Administration	Farin Kamangar	• Reviews and approves the IRF and other components, if need be. • Provides the Institutional Support Letter, if required. • Signs the required forms.
7	Partner Institution/Agency		• Sends ORA a subaward/subcontract to review once it has a fully executed prime award.
8	ORA Contract Specialist (CS)	Matthew Lee	• Reviews contract/award documents for legal sufficiency based on Morgan's guidelines. • If contract does not meet Morgan's guidelines, CS will negotiate terms with Partner Institution/Agency. • If Partner Institution/Agency is unwilling to adjust the terms, ORA CS will reach out to Morgan's General Counsel for further guidance.
9	ORA Contract Specialist (CS)	Matthew Lee	• When the terms of the agreement are approved, ORA CS will obtain approval and signature from DRED and Finance Administration.
10	ORA Contract Specialist (CS)	Matthew Lee	• Sends partially executed agreement back to the Partner Institution/Agency for full execution. • Sends fully executed agreement to partner agency and the Morgan PI team. Will alert

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			Sponsored Programs and Restricted Funds Accounting teams.
11	ORA Budget Specialist	Deshun Li	• Confirms budget is accurate in Banner.
12	ORA Compliance Director	Edet Isuk	• Confirms if a post award briefing is needed.
13	Restricted Funds Accounting		• Provides a budget code and grant accountant.

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Transferring Grants from Other Institutions to MSU

Introduction: MSU principal investigators may wish to transfer grants, cooperative agreements, or contracts from another university to Morgan. The transfer needs to be managed by the Office of Research Administration (NOT by the PI or the Department).

Notes to PI: Please

- ✓ Submit an internal routing form (IRF). Check the requirements of the IRF, for example see if:
  - Is release time requested and, if so, is there concurrence from the supervisor (e.g., department chair)?
  - Are there any unfunded operations (e.g., unfunded release time, changes in physical space that are not funded, etc.)? If so, can the department support them?
  - Is the budget, including the indirect costs, appropriate? Please note that the indirect cost rate will change to that of MSU upon transfer;
- ✓ Provide the name of the responsible party of the previous institution to the ORA Senior Grants Manager (Ailing Zhang);
- ✓ Work with the ORA Senior Grants Manager (Ailing Zhang) and the previous institution to:
  - Submit a request to the sponsoring agency for the transfer;
  - Obtain the following
    - Relinquishing documents;
    - History of Award;
    - Original Notice of Award (NoA);
    - Subsequent NoAs;
    - Current balance and balance anticipated at end of faculty appointment;
    - IRB information and documents;
    - Subawardee information (new agreement with the new primary institution will need to be processed, refer to "Subaward" process);
- ✓ Complete an Internal Routing Form (IRF), which can be found on ORA webpage.

Notes to Reviewers: Please

- ✓ Review the grant for requirements and sign if you concur. For example, the grant may need funded or unfunded release time, renovations, cost sharing, etc. This information is typically provided in the internal routing form. **Chair, Dean, AVPs and VPs**
- ✓ Review the budget for compliance with the Funding Opportunity Announcement and the university requirements. **ORA Budget Specialist**
- ✓ Review the full package for compliance with the funding agency requirements for this submission. **ORA Senior Grants Manager**

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Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI/Initiator		• Provides the name of the responsible party to the Senior Grants Manager (Ailing Zhang) at the Office of Research Administration (ORA), and vice versa. • Submits a request to the sponsoring agency for the transfer. • Initiates request through Research.gov. • Works with the previous institution to obtain the following: ✓ Relinquishing documents ✓ History of Award ✓ Original Notice of Award (NoA) ✓ Subsequent NoAs ✓ Current balance and balance anticipated at end of faculty appointment ✓ IRB information and documents ✓ Subawardee information (new agreement with the new primary institution will need to be processed, refer to “Subaward” process) • Completes an Internal Routing Form (IRF), which can be found on the Office of Research Administration (ORA) webpage. The purpose is to provide the required information to the chair, dean, and other MSU authorities about the submitted grant.
2	Chair		• Reviews and approves the IRF. • May choose to review the grant.
3	Dean		• Reviews and approves the IRF. • May choose to review the grant.
4	ORA Budget Specialist	Deshun Li	• Works with the PI to prepare a budget. • Reviews and approves the IRF. • Inputs budget into Banner.
5	ORA Senior Grants Manager	Ailing Zhang	• Works with the PI to obtain all related documents. • Reviews and approves the IRF.
6	AVP for Research Administration	Farin Kamangar	• Reviews and approves the IRF and other components, if need be. • Provides the Institutional Support Letter, if required. • Signs the required forms.

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7	ORA Senior Grants Manager	Ailing Zhang	• Submits the request for grant transfer to the funding agency. • Once sponsor and institutional approval is in place, will forward to Restricted Funds Accounting (RFA) (see “Setting up a Grant” process). • In collaboration with the ORA Budget Specialist, records submission in a database.

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Intergovernmental Personnel Act (IPA) Assignments

Introduction: The Intergovernmental Personnel Act (IPA) of 1970 allows for faculty to work for federal agencies while maintaining employment with Morgan State University. MSU must approve all IPA Assignments. After receiving approval from Academic Affairs, the Agreement will be signed by the Office of Research Administration (not the PI).

Notes to PI: Please

- ✓ Prepare any documents that have been requested by the federal agency (if any);
- ✓ Submit an internal routing form (IRF). Check the requirements of the IRF, for example see if:
  - Is there concurrence from the supervisor (e.g., department chair)?
  - Is the salary included in the budget correct?

Notes to Reviewers: Please

- ✓ Review the IPA for requirements and sign if you concur. **Chair, Dean, and AVP**
- ✓ Review the budget for compliance with the IPA Assignment Agreement and the University requirements. **ORA Budget Specialist and AVP**
- ✓ Review the full package for compliance with the IPA Assignment Agreement for this submission. **AVP for Research**
- ✓ **It is important that Restricted Funds Accounting (RFA) charges the entire salary and benefits to the federal agency quarterly.**
- ✓ **It is important that the dean or department chair requests the equivalent of the faculty member's salary and fringe benefits from the Division of Finance and Administration so that they can refill the position.**

Process:

	Office (Person)	Primary/Back-Up Person	Role
1	PI/Initiator		• Discusses the Intergovernmental Personnel Act (IPA) Assignment with the federal agency representative, primarily the prospective supervisor. • If the position is of interest, the PI discusses the opportunity with her/his supervisor (Chair, Dean, or other). • Works with MSU administration for letters of support or other documents, if need be. • Completes an Internal Routing Form (IRF), which can be found at the link above or on the Office of Research Administration (ORA) webpage. The purpose is to provide the required information to the chair, dean, and other MSU authorities about the submitted IPA.

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2	Chair		• Reviews and approves the IRF. • Coordinates with the ORA and Finance to ensure that funds come to the department.
3	Dean		• Reviews and approves the IRF. • Coordinates with the ORA and Finance to ensure that funds come to the department.
5	ORA Budget Specialist	Deshun Li	• Works with the PI to ensure salary information and fringe benefits are recorded correctly. • Reviews and approves the IRF. • Inputs the budget to the Banner system.
6	AVP for Research	Farin Kamangar	• Reviews and approves the IRF and other components if need be. • Provides the Institutional Support Letter, if required. • Works with the representative from the federal agency to receive the IPA agreement paperwork; signs the required forms and makes sure they are countersigned.
9	Federal Funding Agency		• Returns signed IPA Agreement to the AVP for Research.
10	ORA Budget Specialist	Deshun Li	• Instructs Restricted Funds Accounting (RFA) to set up an index and fund.
11	Restricted Funds Accounting (RFA)		• Sets up the account. • Provides the account to the faculty, department chair, and dean, and asks them to ensure that the entire faculty salary is charged to this index as of the start date of the IPA Agreement. • Ensures that PI’s salary is invoiced to the Federal Funding Agency.
12	Dean or Chair		• Sends a request to Finance to make sure the equivalent of the salary and fringe of the PI is available to the dean’s office or the department.

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Pre-Award Spending / Advance Account Creation Prior to Receipt of the Award Document

Introduction: When applicable and appropriate, permission may be issued to a Principal Investigator (PI) or Project Director (PD) to begin spending on an award prior to the receipt of the official award document. The process here documents, first, how permission may be requested for Pre-Award Spending / Advance Account Creation, and second, how to proceed if the appropriate permissions are granted.

Notes to PI: Please

- ✓ Permission for Pre-Award Spending / Advance Account Creation Prior to Receipt of the Award Document is limited to specific circumstances, which may include:
    - An award has been granted, but the project period has yet to begin, AND the funding agency permits reimbursement of pre-award spending;
    - An award has not yet been granted, but there is a high probability that Morgan State University will receive one, for example, a public announcement of the award has been published;
    - It is a multi-year award in which the out years' notices of award are received after the start of each new budget period, AND there are no indications that the funding agency will not continue the award;
- ✓ Submit a Pre-Award Spending / Advance Account Creation form, including:
    - PI/PD contact information,
    - Upcoming award details,
    - Other relevant details and rationale, such as if pre-award spending is permitted by the funding agency, there is a public announcement of the upcoming award, if the Prime Institution is well-known and reputable, as well as a concise rationale for the request;
- ✓ If permission is granted, the PI/PD must adhere to the limitations and restrictions of Pre-Award Spending as laid out by the AVP for Research and AVP for Finance & Administration, or their designees.

Notes to Reviewers: Please

- ✓ Review the Pre-Award Spending / Advance Account Creation request. **AVP for Research**
- ✓ Verify eligibility. **AVP for Research**
- ✓ If denied, provide written reason for the denial of permission. **AVP for Research**
- ✓ If approved, calculate the total amount to be permitted for Pre-Award Spending. **AVP for Research**
- ✓ If eligibility is approved by the AVP for Research, review the availability of funds. **AVP for Finance & Administration**
- ✓ If denied, provide written reason for the denial of permission. **AVP for Finance & Administration**
- ✓ If approved, review the total amount to be permitted for Pre-Award Spending. **AVP for Finance & Administration**

Process:

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To request permission for Pre-Award Spending / Advance Account Creation Prior to Receipt of the Award Document:

	Office (Person)	Primary/Back-Up Person	Role
1	Principal Investigator (PI)/ Project Director (PD)		• Requests Pre-Award Spending/ Advance Account Creation by submitting the Pre-Award Spending Form. • Provides a clear rationale for requesting Pre-Award Spending.
2	AVP for Research (or designee)	Farin Kamangar	• Reviews the pre-award spending request, using details about the proposal available in its respective Internal Routing Form. • Verifies that the award is eligible for pre-award spending. • If the decision is to deny the request for pre-award spending, then the AVP for Research (or designee) will indicate as such on the form and, as appropriate, communicate directly with the PI. • If the decision is to approve the pre-award spending, then the AVP for Research (or designee) will calculate the amount of pre-award spending that will be permitted (20% of total cost or $100,000, whichever is lower), and then the AVP for Research (or designee) will enter this information on the form (with explanation) and sign their approval.
3	AVP for Finance & Administration (or designee)	Deb Flavin	• Reviews all Pre-Award Spending requests approved by the AVP for Research (or designee) to confirm availability and approval of funds.

If Pre-Award Spending / Advance Account Creation Prior to Receipt of the Award Document is approved:

	Office (Person)	Primary/Back-Up Person	Role
1	AVP for Research (or designee)	Farin Kamangar	• Directs ORA and RFA to create the Pre-Award Spending account, with

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			the appropriate dollar amounts in their relevant budget lines, which is to be based on the submitted budget approved by the ORA Budget Specialist, not to exceed the approved pre-award spending amount (the lesser of $100K and 20% of the budget for the first period).
2	ORA Grant Administrator	ORA Staff	• Records this award in the pre-award database.
3	ORA Budget Specialist	Deshun Li	• Sends the budget information to Restricted Funds Accounting (RFA).
4	Restricted Funds Accounting (RFA)	Jeff Copeland	• Sets up the budget and creates budget index and fund information.
5	ORA Training and Communications Coordinator	Ryan Mobley	• Schedules a “post-award” briefing with PI/PD, emphasizing spending limitations during the pre-award spending period.
6	PI/PD		• Attends post-award briefing with ORA and RFA staff.
7	AVP for Research Administration	Farin Kamangar	• When the formal Notice of Award arrives, the AVP for Research notifies all responsible parties.
8	ORA Budget Specialist	Deshun Li	• Provides the updated budget to RFA for the first budget period per the Notice of Award.
9	RFA Staff	RFA Grant Accountant	• Updates the budget in Banner.

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POST-AWARD

Setting Up an Awarded Grant

Introduction: Before the project starts, a series of fiscal and compliance procedures must be completed. Some salient points are described below.

Notes to PI/Initiator: Please make sure

- ✓ The Office of Research Administration has a copy of the Notice of Award;
- ✓ The PI participates in the post-award briefing;
- ✓ The budget receives an index and fund, and the PI has that information;
- ✓ The PI knows who their RFA accountant is;
- ✓ The PI receives P-card training and a P-card;
- ✓ The P-card is linked to the right index and fund;
- ✓ Someone on behalf of the PI starts a Workflow to have Banner access to the index and fund for creating purchase requisitions;
- ✓ Other compliance matters, such as IRB or IACUC approval, are taken care of, when applicable;
- ✓ The PI and their support staff review the Post Award Checklist on page 20. More information is provided in the table below.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI		• Informs the AVP for Research Administration (currently Farin Kamangar) or the ORA Senior Grants Manager (currently Ailing Zhang) that the grant has been funded and sends them the Notice of Award (NoA). • Often the ORA is aware of grants being funded, but sometimes the Notice of Award goes directly to the PI.
2	AVP for Research Administration	Farin Kamangar	• Notifies all responsible parties.
3	ORA Senior Grants Manager	Ailing Zhang	• Records this award in the database.
4	ORA Budget Specialist	Deshun Li	• Sends the budget information to Restricted Funds Accounting (the budget must be formatted at the pool or object level).
5	Restricted Funds Accounting (RFA)	Jeff Copeland	• Sets up the budget.
6	ORA Director of Compliance	Edet Isuk	• Determines if a post-award training is needed.

7	PI		• Checks with the ORA and RFA on the status of setting up the grant after two weeks, if not notified by them that the setup is ready. • Participates in a post-award training if it is determined necessary by the ORA Director of Compliance.
8	ORA Director of Compliance	Edet Isuk	• Notifies RFA to release the budget code (index and fund) to the PI.
9	PI		• Participates in the P-card Training, if needed, and requests a P-card (or increase in the amount of an existing one).
10	PI's supervisor		• Starts a Workflow for access to Banner and create purchase requisitions.
11	PI		• Ensures that all matters of compliance (e.g., IRB, IACUC, radiation safety, etc.), as applicable, are taken care of and all approvals are in place.
12	PI		• Ready to start the project. The PI may receive assistance from assigned budget officers.

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Post-Award Check List

☐ Have you reviewed the Notice of Award for any special requirements or prohibitions?
☐ Has RFA established a new index/fund?
☐ Do you have staff to support managing the administrative aspects of the award?
☐ Does your project (including research personnel, subrecipients, or contractors) anticipate utilizing foreign national(s) in the performance of the award? A foreign national is defined as any person who is not a U.S. citizen by birth or naturalization.
☐ Is this project receiving any funding from a foreign government or institution? Is any sensitive information being shared with a foreign government or institution?
☐ Do you have any conflict of interest?
☐ Does the project require cost share?
☐ Does the project need non-grant-funded resources, renovation, construction, or space?
☐ Does the project require purchase or maintenance of equipment or furniture NOT included in the proposal?
☐ Does the project require expanded utility (or network) services to support it?
☐ Does the project include additional personnel requiring funds NOT included in the proposal or likely to require support of space AFTER the project?
☐ Does the project include human subjects research? If yes, has protocol been reviewed by IRB?
☐ Does the project include animal research? If yes, has protocol been reviewed by IACUC?
☐ Does the project include planned or potential use of radioactive materials? (The PI must be a permit holder or authorized under a current permit.)
☐ Does the project include planned or potential use of (a) ionizing radiation device?

Review the budget justification to see which of the following items you need guidance on:

- ☐ Do you need to do Banner Workflow(s) for program staff?
- ☐ Do you need a new purchase card, or to add this award to an existing purchase card?
- ☐ Do you have faculty who will receive release time?
- ☐ Do you have personnel who need contracts?
- ☐ Will there be travel on this award?
- ☐ Will you need to order supplies?
- ☐ Will you need to order equipment?
- ☐ Will you need to process non-personnel contracts?
- ☐ Will you need to order catering?
- ☐ Will you need to process tuition for students?
- ☐ Will you need to process stipends for students?
- ☐ Will you need to process any honoraria?
- ☐ Will you need to request any research working funds (for participant incentives)?
- ☐ Are there subawards to other institutions?

☐ Do you have any questions?

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Providing Banner Access Using Workflow

Introduction: All purchases with a combined value of $5,000 or higher must be done through Banner requisitions. If the vendor does not accept P-cards, the purchase must be done via a requisition. In order to have access to Banner requisitions, a Workflow request needs to be submitted. The process is shown in the table below.

Notes to the PI/Initiator: Please

- ✓ Speak with your department chair, dean, or budget officer to ask who might be able to initiate the Workflow request;
- ✓ Make sure that the index and fund are issued by the Office of Restricted Funds Accounting (RFA) and access to the right index and fund is requested.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Restricted Funds Accounting		• Provides organizational code, index and fund for grant account.
2	PI		• Go to the Banner Links webpage (https://gateway.morgan.edu/casban/) and then click on the Workflow icon that resembles a stack of coins. • For instructions on how to complete a Banner Security Access request please see the link below for *Process of Completing a Workflow to Request Banner Finance Access/ Access Changes* https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/comptroller/Workflow-RequestBannerFinanceAccess.pdf This will explain to you how to process the Banner Security Access Request Workflow for your staff who need access to the grant's finances for requisitions, contracts, purchase card reconciliation, etc.

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Obtaining or Modifying a Purchase Card

Introduction: The MSU purchasing card (P-card) program is designed to simplify the purchasing of goods and services costing up to $5,000 per single transaction for state- and grant-supported accounts.

Notes to PI/Initiator: Please

- ✓ Make sure that you have received P-card training to understand the requirements and limitations;
- ✓ Speak with your department chair, dean, or budget officer to ask who might be able to initiate the P-card request on your behalf;
- ✓ Make sure that the index and fund are issued by the Office of Restricted Funds Accounting (RFA) and access to the right index and fund is requested.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI or staff		• To request a new card or submit a request for a new Index you will be spending from, submit a purchase card application (available at https://www.morgan.edu/purchasing-card/forms-and-documents) via DocuSign to PCard@morgan.edu. • If you have questions about the purchase card program, contact PCard@morgan.edu.
2	Purchasing Card Office		• Provides the card, uploads monthly purchases to Banner, and approves monthly logs.
3	Purchase Card online resources		• Cardholder Transaction Log: https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/p-card/Transaction-Log.xls • Cardholder Transaction Log Workbook: https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/p-card/Transaction-Log-Workbook.xls • State of Maryland Corporate Purchasing Card Policy and Procedures: https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/p-card/CPC_Manual.pdf • MSU P-card User Guide: https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/p-card/PCard-UserGuide2020.pdf • Banner Expenditure Codes: Click here for Banner Expenditure Codes • Quick Reference Brochure: https://www.morgan.edu/Documents/ADMINISTRATION/OFFICES/p-card/QuickReminder-brochure.pdf

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Hiring Full-Time Employees

Introduction: This category of hiring refers to hiring full-time employees, i.e. those employees that are hired for at least 6 months AND at least 30 hours per week.

Budget Line: Pool Level 01 (Regular Earnings Pool)

Spending Instrument: Timesheet

Notes to PI/Initiator: Please

- ✓ Check the Notice of Award (NoA) and budget justification to ensure allowability of hiring full-time employees, especially in the category of hiring. For example, some awards may not allow for hiring postdoctoral fellows;
- ✓ Check if there are enough funds in Line 01;
- ✓ Make sure that the salary is reasonable.

Notes to the Reviewers: Please check

- ✓ There is enough space and other requirements for the person to be hired. **Department Chair**
- ✓ There are funds available in the budget, and this is consistent with the Notice of Award. **ORA**
- ✓ This person is allowed to work in the United States. Citizen? Green Card holder? H1-B visa? (Note: In some cases, the Office of International Affairs needs to help with applying for visas.) **HR**
- ✓ The job has been advertised properly, the salary is reasonable, and the person is allowed to work in the United States (e.g. Citizen, Green Card holder, H1-B visa, etc.), and the person doesn't have any other hiring restrictions, such as being debarred from receiving federal funds. **HR**
- ✓ **Note 1: If visas are needed, the Office of International Affairs needs to be included.**
- ✓ **Note 2: For postdoc fellows with J1, there may be no need for advertisement.**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI/Initiator		• Completes HR06 Position Description form and organizational chart (showing new job's position within current organization). • Initiates position in MSU PeopleAdmin system (uses existing HR job template if relevant, reposts position, or creates new position).
2	PI's Supervisor		• Reviews and approves position in MSU PeopleAdmin.
3	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Reviews position in MSU PeopleAdmin and makes sure budget account is correct and that there are sufficient funds.

			[**Note: not currently done**.]
4	HR		• Reviews position, requests any missing information, and posts to MSU Jobs.
5	Initiator and Selection Committee		• Reviews candidate applications. • Selects candidates to interview and indicates this in MSU PeopleAdmin. • Schedules and conducts interviews for a minimum of three candidates. • Selects candidate to hire. • Recommends the candidate for hire within MSU PeopleAdmin.
6	HR		• Runs background check. • Reviews all application components (e.g., reference letters, certifications). • Alerts initiator when candidate is cleared for hiring (or otherwise).
7	Initiator		• Can check references beyond the reference letters in the system if they choose to do so. • Initiates hiring proposal in MSU PeopleAdmin.
8	HR		• Works with initiator to determine start date and confirm salary. • Works with MSU President's Office or AVP Human Resources to prepare the offer letter and email it to the candidate and his/her prospective MSU supervisor.
9	Initiator		• Moves remaining candidates to "interviewed, not selected" or "not interviewed" status.

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Hiring Contractual Employees

Introduction: This category of hiring refers to hiring contractual employees, i.e. those employees that are hired for less than 6 months OR work less than 30 hours per week. For example, a graduate student who works 20 hours per week for a period of 9 months is considered a contractual employee, because he is working less than 30 hours per week.

Budget Line: Pool Level 02 (Contract Salary Wages Payment & Benefits)

Spending Instrument: Timesheet (following approval of PF10 or EPAF)

Notes to PI/Initiator: Please check

- ✓ The Notice of Award (NoA) and budget justification to ensure allowability of hiring contractual employees, especially in the category of hiring;
- ✓ If there are enough funds in Line 02;
- ✓ The hourly rate is reasonable and consistent with similar people in that category (or with the proposal). For example, if graduate students are typically paid $25 per hour, it would not be reasonable to pay a graduate student $60 per hour;
- ✓ Faculty are required to submit timesheets for summer contracts;
- ✓ **Payment in excess of institutional base salary may be a major issue. Before you submit a contract for extra payment to individuals who already have a full-time appointment with MSU, check with ORA for allowability.**

Suggested Hourly Rates for Students in 2022: If there are hourly requirements per the funding opportunity announcement, please follow them. Otherwise, these are some suggested rates:

- $15 to $20 per hour for undergraduate students
- $18 to $23 per hour for master's students
- $20 to $25 per hour for doctoral students

Notes to the Reviewers: Please check

- ✓ There is enough space and other requirements for the person to be hired. **Department Chair**
- ✓ The total amount is correct, and there are funds available in the budget. **ORA**
- ✓ The person is NOT being paid over 100% on multiple awards. **HR**
- ✓ This person is NOT already a full-time employee of MSU. If so, please make sure that permission has been obtained for extra payment. **ORA + HR**
- ✓ This person is allowed to work in the United States. Student working on campus? Citizen? Green Card holder? **HR**
- ✓ The person doesn't have any other hiring restrictions, such as being debarred from receiving federal funds, being a student with more than 20 hours/week of work during the academic year, or being an international person that cannot be hired for a sensitive matter, or a student working on Title III who can't have another job. **HR**

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Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Initiates contract documents (form link available through HR or Academic Affairs if relevant): ✓ For new employees/ positions and revisions to PF10s: PF10 + HR06 ✓ For previous same position at Morgan: EPAF + HR06
2	PI/PD or designee (can be the initiator)		• Approves that he/she made this request and that it is in accordance with terms and conditions of the award.
3	PI's supervisor		• Approves that there is physical space (if needed) and adding a new person is OK.
4	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that this is the correct budget code, has enough funds in it, and that the request is consistent with the NoA and federal and state rules.
5	HR		• Does background check on candidate if warranted. • Reviews and finalizes the contract.

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Contractual or Consultant Services

Introduction: Contractual services may include consultants (honoraria, travel, per diem), contractors, photographic services, audiovisual production, printing and copying services, report preparation, editorial services, central computer services, library loans, etc.

Contractors and consultants, as described here, are entities or individuals that are external to MSU. They are paid from Line 08, and this is different from contractual employees inside MSU who are paid from Line 02.

Contractors and consultants are also different from subrecipients in several ways. One distinguishing feature is that contractors and consultants do not have a major role in programmatic advancement of the project. By contrast, subrecipients are other universities or institutions that play a major role in leading and executing the project. Contractors often provide the same service to many clients, but subrecipients often need to make decisions and tailor the research project to the needs of the funding opportunity announcement. While subrecipients are subject to being monitored for performance and compliance, contractors are not.

Budget Line: Pool Level 08 (Contractual Pool)

Spending instrument: Banner Requisition

Notes to the PI/Initiator:
Before the work starts
Please

- ✓ Check the Notice of Award (NoA) and budget justification to ensure allowability of having a consultant (or contractual work);
- ✓ **Make sure that this person is external to MSU, NOT an MSU employee;**
- ✓ Check if there are enough funds in Line 08;
- ✓ Establish a sole source (e.g., if the consultant or the contractor is named in the grant), or obtain three quotes;
- ✓ Make sure that the consultant, consulting company, or the contractor is registered with the MSU Procurement system and has a Vendor ID;
- ✓ Send an email to the ORA (ora-docusign@morgan.edu), and the Office of Procurement (procurement-admin@morgan.edu) with the subject heading “Supporting Material for Requisition #R00XXX”:
    - A document showing that having a consultant (or contractual work) is allowable, such as the relevant part of the grant budget justification (or alternatively an email from the grants officer stating that it is allowable);
    - Sole source justification, or three quotes;

After the work is completed
Before you approve the invoice, please make sure that:

- ✓ Work is done appropriately;
- ✓ The amount is correct;
- ✓ It has the “amount”, not the “estimated amount”;
- ✓ It states “invoice”, not “quote”;

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- ✓ The invoice has MSU's address and the PO#.

Note as well:

- ✓ For seminars or when food and accommodation is provided, MSU needs a list of the attendees.

Notes to Reviewers: Please

- ✓ Make sure that this person is eligible to be a consultant; verify that he/she is external to MSU, and his/her work is done independently. Consultation from MSU colleagues is mostly a professional courtesy, and they cannot be paid as consultants. **ORA + HR**
- ✓ Make sure that the person or contractor is NOT barred from being paid under federal grants. **ORA + HR**
- ✓ Make certain that this person or contractor is named in the grant or determine if there are other reasons they would be designated as "sole source". Otherwise, follow the process of obtaining 3 quotes. **Procurement**
- ✓ Make sure there are sufficient funds available in Budget Line 08 and that there are NOT encumbrances open that should have been paid or need to be closed. **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Checks in Self Service Banner (Finance tab > requisition > code look up) if there is a Vendor ID. • If not, completes the Vendor ID Registration Form and sends it to Procurement. • Note: If using an existing vendor ID, make sure the information associated with it is accurate (e.g., address).
2	Procurement Officer	Miracle Banks	• Issues a Vendor ID, if needed.
3	Initiator (Admin)		• Puts the requisition in Banner. • Makes sure the contractor, if an individual, submits a W9 form. • If sole source, because specialized expertise is limited, provide justification. However, if such consulting expertise is widely available and it is not written into the grant, and the cost is over $5,000, proper bidding and 3 quotes may be needed. • Has the MSU contract form signed.
4	PI/PD (can be the initiator)		• Approves that he/she made this request, and that this is in accordance with terms and conditions of the award.
5	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that the budget code is correct, has sufficient funds, and the request is

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			consistent with the NoA and federal/state rules.
6	Procurement		• Determines if this consultant is sole source (named in the proposal, or the company/person has unique expertise). • Otherwise, checks if the correct processes are followed. • Issues the PO#.
7	Contractor/Consultant		• Emails an invoice after the work is done, or as agreed upon. The invoice must include the PO#, MSU address, and SSN or EIN. It can say "attention to" at the bottom of the address, to facilitate delivery to the correct person/department.
8	PI (or admin)		• Emails all invoices to msuap@morgan.edu, marked "OK to Pay." • Provides vendor/recipient with URL for GAD system, so they can monitor payment status themselves. Vendor/consultant may first need to establish an account in this State system.
9	Accounts Payable		• Uses DocuSign to obtain necessary signatures. • Makes a request to the State to issue the check.

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Supplies – Total cost < $5,000 (using Purchase Card)

Introduction: Supplies are research material that cost less than $5,000 or are expected to last less than a year. For example, a computer that costs $3000 is considered supplies (not equipment). Other examples include office supplies, test materials and instruments, animals, animal food, laboratory supplies, chemicals, electronic supplies, and project-related books.

Budget Line: Pool Level 09 (Supplies Pool)

Spending Instrument: P-card

Notes to PI/Initiator: Please check

- ✓ The total purchase costs less than $5000;
- ✓ **The supplies will be used directly for research purposes. For example, tissues cannot be ordered, unless they are used exactly for the research;**
- ✓ **The supplies will be bought in a time that will be useful for the project. For example, purchasing supplies in the last week of the project is unlikely to help the project, will not be considered an allocable cost, and will be an audit risk;**
- ✓ This is an item that is allowable under State P-card rules;
- ✓ The vendor is set up for purchase card payment. If not, requisition should be used.
- ✓ The purchase is tax exempt;
- ✓ Make sure the P-card rules are followed. For example, monthly reconciliations are done, all supplies purchases are directly relevant to the research project, items cost <$5,000 (no splitting allowed), no gifts of sentiment, etc.

Process:

	Office (Person)	Primary/Back-Up Person	Role
1	PI/Admin		• Determines what supplies are needed. **Makes sure that the supplies are directly relevant to the research project** (and not other projects, teaching, or service). • Items for which the costs total < $5,000 can be bought with a purchase card. • **No splitting is allowed to make each transaction less than $5,000.** • Makes sure that the vendor has MSU's sales tax-exempt status on file (from/with Procurement), so that no sales taxes are paid. Some companies require registered accounts with sales tax-exempt status for individuals at MSU, not just MSU overall, so provide documentation as needed.

			• For internet/online orders, you should contact customer service to process the sales tax-exempt request. • If a vendor does not accept Maryland's state sales tax-exempt status (for example, an international business or another state), then sales tax may be allowed, but this is a very rare case. • Hotel taxes are permitted.
2	PI/Admin		• Once the P-card Office uploads the monthly card data, PI/Admin will reconcile purchases in Native Banner (with appropriate indices, funds and account codes), submits the activity log, and the original receipts. • The card holder name should be listed as the "bill to" and "ship to." The address needs to be 1700 E Cold Spring Lane, no matter the department. Do NOT use your home or any other addresses.

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Supplies – Total cost ≥ $5,000 (Using Requisition)

Introduction: Supplies are research material that cost less than $5,000 or are expected to last less than a year, however this category refers to Supply Purchase of several items that add up to $5,000 or more. One example is buying three (3) laptops, each for $1,800, with a total cost of $5,400.

Budget Line: Pool Level 09 (Supplies Pool)

Spending instrument: Banner Requisition

Notes to PI/Initiator:
Before purchase
Please

- ✓ Make sure that the supplies are relevant to your research project;
- ✓ **The supplies will be bought in a time that will be useful for the project. For example, purchasing supplies in the last week of the project is unlikely to help the project, will not be considered an allocable cost, and will be an audit risk;**
- ✓ Check if there are enough funds in Line 09;
- ✓ Get three quotes, or establish a sole source;
- ✓ Send an email to the ORA (ora-docusign@morgan.edu), and the Office of Procurement (procurement-admin@morgan.edu) with the subject heading “Supporting Material for Requisition #R00XXX”:
    - Include the sole source justification or the three quotes.

After purchase
Before you approve the invoice, please make sure that:

- ✓ The supplies are delivered;
- ✓ The amount is correct;
- ✓ It has the “amount”, not the “estimated amount”;
- ✓ It states “invoice”, not “quote”;
- ✓ The invoice has MSU’s address and the PO#;
- ✓ The vendor is registered with the State of Maryland;
- ✓ The purchase is tax exempt.

Notes to Reviewers: Please check

- ✓ There is sufficient funding available in Budget Line 09, even when considering other planned spending. Is it allowable under the grant? **ORA**
- ✓ There is a legitimate reason that the supplies are deemed sole source. For example, is there only one vendor that makes these types of supplies with the required specifications? **Procurement**

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Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Checks in Self Service Banner (Finance tab > requisition > code look up) if there is a Vendor ID. If not, the Vendor ID Registration Form needs to be completed and sent to Procurement.
2	Procurement Officer	Miracle Banks	• Issues a Vendor ID if needed.
3	Initiator (Admin)		• Determines what supplies are needed. **Make sure that the supplies are directly relevant to the research project (and not other projects or teaching or service).** • Makes sure that the vendor has MSU's sales tax-exempt status on file, so that no sales taxes are paid. • Puts in the requisition in Banner. • If sole source, this has to be justified using the sole-source form. Three quotes are still required. • If not sole source AND over $5,000, proper bidding (3 quotes) need to be submitted.
4	PI/PD (can be the initiator)		• Approves that he/she made this request, and this is in accordance with terms and conditions of the award.
5	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that this is the correct budget code, has enough funds in it, and the request is consistent with the NoA and federal/state rules.
6	Procurement		• Will determine if this purchase is sole source (e.g., named in the proposal). Otherwise, they will check if the correct processes are followed. • Issues Purchase Order and sends to vendor and initiator.
7	Initiator (Admin)		• Notifies vendor that Purchase Order is ready, and arranges for delivery. Requests invoice from vendor (if vendor has not already provided one), and will submit it to Accounts Payable for processing. The invoice has to have the PO#, MSU's address, the SSN or EIN of the vendor, and the MSU recipient (PI or their admin).

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8	Accounts Payable		• Submits a request to the State to pay the invoice. They will also notify the PI the payment has been processed.
9	Initiator (Admin)		• Confirms that the State paid the invoice, and confirms in Banner that the funds were charged to the appropriate encumbrance.

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Equipment (≥ $5,000 unit cost and a lifetime use of at least 1 year)

Introduction: Equipment are items (including information technology systems) that have a per unit cost over $5000 and are expected to last over a year. For example, a computer system that costs $6500 is considered equipment. But a computer that costs $2000 is not a piece of equipment. Equipment installation, rental equipment, and accessories included with equipment are also considered here.

Budget Line: Pool Level 11 (Equipment Pool)

Spending Instrument: Banner Requisition

Notes to the PI/Initiator:
Before purchase
Please

- ✓ Check the Notice of Award (NoA) and budget justification to ensure allowability of the equipment purchase;
- ✓ Check if there are enough funds in Line 11;
- ✓ **Make sure that the equipment will be bought in a time that will be useful for the project. For example, purchasing equipment in the last few months of the project is unlikely to help the project, will not be considered an allocable cost, and will be an audit risk;**
- ✓ Check if space, electricity, water, and other requirements for the proper functioning of the equipment are available;
- ✓ Obtain three quotes, or establish a sole source;
- ✓ Make sure that the vendor is registered with the MSU Procurement system and has a Vendor ID;
- ✓ Send an email to the ORA (ora-docusign@morgan.edu), and the Office of Procurement (procurement-admin@morgan.edu) with the subject heading "Supporting Material for Requisition #R00XXX":
    - A document showing that the purchase of the equipment is allowable, such as the relevant part of the grant budget justification (or alternatively an email from the grants officer stating that it is allowable);
    - Three quotes and/or sole source justification.

After delivery
Before you approve the invoice, please make sure that:

- ✓ The equipment is delivered and functions properly;
- ✓ The amount is correct;
- ✓ It has the "amount", not the "estimated amount";
- ✓ It states "invoice", not "quote";
- ✓ The invoice has MSU's address and the PO#.

Notes to Reviewers: Please check

- ✓ The space where the equipment will be placed is ready (e.g., cleared out, physically sufficient (Need table? Ceiling high enough?) and has required electrical, plumbing, and/or internet. **Chair + Physical Plant**
- ✓ Is it too late in the project to purchase equipment? **ORA + RFA**

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- ✓ There is sufficient funding available in Budget Line 11, even when considering other planned spending. Is it allowable under the grant? **ORA**
- ✓ There is a legitimate reason that the equipment is deemed sole source. For example, does the equipment have to work with existing equipment and thus be the same brand? Or is there only one vendor that makes that type of equipment with the required specifications? Or is it written into the grant? **Procurement**

Notes to Property Control: Please check

- ✓ If the order contains multiple items that "assemble" into one piece of equipment costing over $5,000, or need to be used together to work, then it should be capitalized.
- ✓ Equipment needs to be tagged.
- ✓ For federal grants and cooperative agreements, the title of the equipment typically stays with the University after the project ends.
- ✓ For federal contracts and other contracts, the title of the equipment may return to the sponsor after the project ends.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Obtains 3 quotes. If sole source, that must be justified. • Checks in Self Service Banner (Finance tab > requisition > code look up) if there is a Vendor ID. If not, the Vendor ID Request form needs to be completed and sent to Procurement.
2	Procurement Officer	Miracle Banks	• Issues a Vendor ID if need be.
3	Initiator (Admin)		• Submits the requisition using the Vendor ID and appropriate documentation.
4	PI/PD (can be the initiator)		• Approves that he/she made this request, and that it is in accordance with terms and conditions of the award.
5	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that this is the correct budget code, has enough funds in it, and that the request is consistent with the NoA and federal/state rules.
6	Procurement		• Determines if the sole-source request is justified, and, if not, whether the correct process has been followed for the vendor selected. • Issues Purchase Order and sends to vendor and initiator.

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7	Initiator (Admin)		• Notifies vendor that Purchase Order is ready and arranges for equipment delivery with relevant parties (investigator, property control, etc.). • After equipment is delivered and checked to make sure it works, initiator will request the invoice from the vendor (if the vendor has not already provided one) and will submit it to Accounts Payable for processing. The invoice has to have the PO#.
8	Accounts Payable		• Submits a request to the State to pay the invoice. They will also notify the PI when the payment has been processed.
9	Initiator (Admin)		• Confirms that the State paid the invoice, and confirms in Banner that the funds were charged to the appropriate encumbrance.
10	Property Control		• Tags the equipment.

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Catering Services

Introduction: Catering food at MSU has to be done via SodexoMagic. It may be allowable for full day events, when leaving a working meeting will result in reduced efficiency. However, several conditions must be met. Please read the instructions below very carefully.

Budget Line: Pool Level 08 (Contractual Services Pool)

Spending Instrument: Banner Requisition

Notes to PI/Initiator:

- ✓ **Purchasing food using federal grants should be done in rare instances and may be an audit risk.** Please check to make sure purchasing food is allowed using this funding source. Check Notice of Award, NIH GPS, NSF PAPPG, etc. Generally speaking, paying for food on a grant may be allowed only if the food is served during working hours, when the meeting participants would have difficulty leaving the meeting because there are no good sources in the area or there will be a major waste of time. Even then, it is a risk. **Always ask for permission from the agency;**
- ✓ Food for on-campus events can only be ordered from MSU's official caterer: SodexoMagic;
- ✓ Please make certain that you leave sufficient time for Procurement to process a PO so that it is ready one week before the event. Provide the PO# to the caterer, and accounting will request a brief summary of the purpose of the meeting and a list of participants/attendees;
- ✓ Food CANNOT be bought using the MSU/State-issued purchase card.

Notes to Reviewers: Please check

- ✓ There is sufficient funding available in Budget Line 08, even when considering other planned spending. **ORA**
- ✓ It is allowable under the grant. Has the PI established that this is allowed? **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Makes sure that the University-approved caterer is used. • Informs the University Events Office (443-885-4143) as early as possible. • If a space needs to be reserved, the initiator makes a reservation using the Virtual EMS system. • Puts the requisition in Banner.
2	University Events Office		• Assigns an event number and emails it to the initiator.
3	PI/PD (can be the initiator)		• Approves that he/she made this request, and that this is in accordance with the terms and conditions of the award.

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4	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that this is the correct budget code, that there are sufficient funds, and that the request is justified and consistent with the NoA and federal/state rules.
5	Procurement		• Generates the PO#.
6	PI/Admin		• Sends the PO# to the University Events Office. • Submits payment to the University Events Office at most three business days prior to the event. • Submits documentation of the purpose of the event where food is being served and includes a list of the invitees/attendees.
7	University Events Center	Dawn Scruggs Deborah Plummer	• Confirms that space is set for the event. • Sends a catering contract with the event number to be signed by the PI/Admin. • Informs the University Food Service Provider once the contract is signed.
8	University Food Service Provider (currently SodexoMagic)		• Caters the food.

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Stipends for Morgan State University Students

Introduction: Stipends are different from salaries and wages. Stipends are typically predetermined (fixed) amounts paid to trainees to defray the cost of living. Unlike salaries and wages, which are given to employees to accomplish the work, stipends are mostly for the benefit of the trainees. While the student has some responsibilities, their main function is not to work for the sponsored project. Think of benefit to the trainee, not to the project.

Budget Line: Pool Level 12 (Grants and Contributions Pool)

Spending instrument: Memo

Notes to PI/Initiator: Please

- ✓ Make sure this grant allows for stipends to be paid to students/trainees;
- ✓ Make sure that the funds are available in Line 12;
- ✓ Make sure these specific students/trainees are eligible for stipends under this award. Sometimes only US citizens and Green Card holders are eligible;
- ✓ Make sure the amount of the stipend(s) is consistent with what was proposed in the Notice of Award;
- ✓ Prepare a stipend request memo with a spreadsheet that lists each individual student name, SSN, MSU ID, address, dollar amount, and budget codes. Budget codes include index, fund, organization, grant code, account code, and program (e.g., index 511111, fund 33333, Org A3033, account code 12042 (undergraduate student) 12043 (graduate student), Program 25). Leave a column for Accounts Payable to add the State's reference number;
- ✓ Consider submitting the memo at least 30 days before the time you expect the student to be paid;
- ✓ Encourage the student to have a direct deposit account;
- ✓ Ask the student to complete a W9 form at least one month in advance of the payment date;
- ✓ For federal grants, make sure that the student is registered in the system (e.g., xTrain);
- ✓ For federal grants, make sure that the stipend is consistent with the amount allowed by the grant.

Suggested Student Stipend Amounts in 2022: The range of monthly stipends may be fixed by the grant. If not determined by the grant, the range for a student stipend is typically:

- $1000 to $1500 per month for undergraduate students
- $1500 to $2000 per month for master's students
- $2000 to $2500 per month for doctoral students

Notes to Reviewers: Please check

- ✓ There is sufficient funding available in Budget Line 12, even when considering other planned spending. **ORA**
- ✓ Paying stipends is allowable under the grant. **ORA**
- ✓ The monthly amounts are reasonable and consistent with the NoA. **ORA**
- ✓ All the needed elements are included in the stipend memo. **ORA**
- ✓ The W-9 form is attached. **ORA**

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- ✓ Each student is not simultaneously paid by both stipend and hourly wages using federal awards, unless explicitly allowed by the federal funding agency via the funding opportunity announcement (FOA). **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Follows the **Notes to the PI/Initiator** above. • Confirms that students are appointed/submitted to appropriate federal databases (e.g., xTrain), if required. • If NIH, confirms that the stipend amount matches federal NRSA requirements for the student's classification.
2	PI/PD (can be the initiator)		• Approves that he/she made this request, and that it is in accordance with the terms and conditions of the award.
3	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that it is the correct budget code, sufficient funds are available, and the request is consistent with the NoA and federal/state rules.
4	Accounts Payable		• Processes request to the State to pay the stipends.
5	PI/staff		• Checks Banner to confirm when stipends are processed.

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Honoraria / Stipends for High-School Students

Introduction: Honoraria are paid, at a reasonable rate, to speakers and participants from outside MSU. Currently, honoraria are paid as a substitute of a stipend to high school students.

Budget Line: Pool Level 02 (Contracts Salaries Wages Payments & Benefits Pool)

Spending Instrument: Memo

Notes to PI/Initiator: Please

- ✓ Make sure this grant allows for honoraria to be paid to speakers/high school students;
- ✓ Make sure the amount of the honoraria is reasonable and consistent with what was proposed in the Notice of Award;
- ✓ Make sure there is sufficient funds available in Budget Line 02;
- ✓ Initiate the honoraria request 20 working days (minimum) in advance of the expected date the check is cut. 30 working days is preferred;
- ✓ Prepare a spreadsheet that lists each recipient name, SSN, budget code, address, dollar amount for each person, proposed check issue date. Budget codes include index, fund, organization, grant code, account code, and program (e.g., index 511111, fund 33333, Org A3033, account code 02010. Leave a column for Accounts Payable to add the State's reference number. Submit to Accounts Payable at least 15 days before a check is expected to be issued;
- ✓ Encourage the recipient(s) to complete direct deposit paperwork to increase likelihood of timely payment -- these forms should go directly to the State;
- ✓ Ask the recipient(s) to complete a W9 form, preferably at least one month in advance, to make sure that the address listed is correct/the same as in the State system, so, if mailed, it goes to the correct place.

Notes to Reviewers: Please check

- ✓ There is sufficient funding available in Budget Line 02, even when considering other planned spending. **ORA**
- ✓ Paying honoraria is allowable under the grant. **ORA**
- ✓ The honoraria amounts are reasonable. For example, paying $10,000 for a one-hour talk using federal awards is unreasonable. **ORA**
- ✓ All the needed elements are included in the honoraria memo. **ORA**
- ✓ There is a copy of the person's ID, and the W-9 form is attached. **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Follows the **Notes to the PI/Initiator** above.
2	PI/PD (can be the initiator)		• Approves that he/she made this request, and that it is in accordance with the terms and conditions of the award.

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3	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that it is the correct budget code, sufficient funds are available, and the request is consistent with the NoA and federal/state rules.
4	Accounts Payable		• Processes request to the State to pay the honoraria.
5	PI/staff		• Checks Banner to confirm when honoraria are processed.

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Tuition Contributions

Introduction: Paying for the tuition/fees, total or partial, is sometimes allowed for students in a training program.

Budget Line: Pool Level 12 (Grants and Contributions Pool)

Spending instrument: Memo

Notes to PI/Initiator: Please

- ✓ Make sure this grant allows for tuition to be paid;
- ✓ Make sure that ORA requests a detail code from the Bursar's office, as soon as possible, preferably immediately after the grant starts;
- ✓ Make sure these students/trainees are eligible for tuition under this award. Sometimes only US citizens and green card holders are eligible;
- ✓ Review what costs are allowable (e.g., tuition, fees, books, health insurance, etc.);
- ✓ Based on this information, calculate the amount of tuition and allowable fees. Preferably this is usually done before the beginning of the term, or as early as possible;
- ✓ Make sure that the funds are available in Line 12 (Grants and Contributions Pool);
- ✓ Check what percentage of tuition is covered by this award. (Note: Reimbursements are allowed only if the student paid part of the tuition. However, if the amount provided by grants or other university funding sources exceeds the total tuition, there will be no refund. Instead, some of the money goes back to the university source or to the grant.)
- ✓ Prepare a tuition request memo with each individual student's name, MSU ID, Maryland residency, and address.

Notes to Reviewers: Please check

- ✓ Paying tuition is allowable under the grant. If so, up to what percentage? **ORA**
- ✓ There is sufficient funding available in Budget Line 12, even when considering other planned spending. **ORA**
- ✓ All the needed elements are included in the tuition memo. **ORA**
- ✓ The student's tuition paid by this grant and other sources does not exceed 100%. **ORA + Financial Aid**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Following the post-award meeting, as soon as a budget code is issued for a grant that includes tuition payments, a request needs to be submitted to Financial Aid for the fund codes, and then to the Bursar to establish detail codes.

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			• New detail codes may need to be issued when grant numbers change.
2	Initiator (Admin)		• Prepares a tuition request memo with each individual student's name, MSU ID, Maryland residency, and address. • Based on this information, the amount of tuition and allowable fees are calculated. This is usually done before the beginning of the term, or as early as possible. • Notes what costs are permissible (e.g., tuition, fees, books, health insurance). • Notes what costs are NOT permissible (e.g., refunds).
3	Financial Aid (FA)		• Works with initiator to verify that the students' status is appropriate (full time vs. part time), and if there are other sources of funds covering tuition, so that the grant funds are applied properly.
3	PI/PD (can be the initiator)		• Approves that he/she made this request and that it is in accordance with the terms and conditions of the award.
4	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Confirms that the correct budget code is being used, sufficient funds are available in the account, and that the request is consistent with the NoA and federal/state rules. • Discusses with Financial Aid if each student's tuition is from multiple sources and if it exceeds 100% of the tuition.
5	Financial Aid	Tanya Wilkerson	• Awards aid to the student.
6	Financial Aid/DIT		• Runs script to post the award to the students' accounts.
7	Initiator/Admin		• After drop/add is ended, checks students' accounts to verify the correct amounts/percentages were charged to the grant, and credit hours are correct, as appropriate.

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Travel (Out of State/Out of Country) Approval Process

Introduction: Travel may be considered for faculty, staff, and students. Local, domestic, or international travel may be allowed to conduct the research, supervise research sites, meet with collaborators, or attend conferences. Airline/train tickets, mileage, ground transportation, lodging, per diem, and meeting registration fees are often requested.

Budget Line: Pool Level 04 (Travel Pool)

Spending Instrument: P-card (hotel, registrations)
Travel Request
- Reimbursement Form (per diem, mileage, ground transportation, parking, portage)
- GlobeTrotter (airfare, train tickets, car rentals)

Notes to PI/Initiator: When you submit the travel request form, please

- ✓ Make sure travel is allowed by this award – check the Notice of Award (NoA) for details;
- ✓ Make sure that the travel is relevant to the scope of your project;
- ✓ Check if there are enough funds in Line 04;
- ✓ **If international**, please check if the NoA allows for international travel. Please email the relevant part of the NoA or budget justification to ora-docusign@morgan.edu;
- ✓ Initiate a Travel Request Form via Docusign to receive a TL#. Only after receiving the TL# can one contact GlobeTrotter for ticket reservations;
- ✓ Pay for registration and hotel with P-card. Flight reservations must be through GlobeTrotter. Food, portage, and ground transportation/parking will be reimbursed after the travel;
- ✓ Limit payment of tax to only hotels, car rentals, and flights;
- ✓ Note that incidentals during your hotel stay (e.g., alcohol served in the room, tv/movies, payments for cleaning the room) will not be reimbursed and should not be charged to your P-card.
- ✓ In March 2023, the Maryland State Department of Budget and Management banned the use of AirBnB for state-sponsored travel, including University-sponsored travel. A MSU traveler can no longer book space/lodging through AirBnB utilizing State or University funds nor can they request reimbursement if paid for by personal funds.

Notes to Reviewers: Please check

- ✓ Availability of funds in Budget Line 04. **ORA**
- ✓ International travel is allowed under this award. **ORA**
- ✓ Fly America Act is abided by. For federal awards a US Carrier must be used. **Comptroller + GlobeTrotter**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator (Admin)		• Initiates the travel request, per the PI.

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2	PI/PD (can be the initiator)		• Approves that he/she made this request, and that it is in accordance with the terms and conditions of the award.
3	The Traveler's supervisor		• Approves that it is OK for this person to travel on the specified dates.
4	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Makes sure that this is the correct budget code, has enough funds in it, and that the request is consistent with the NoA and federal and state rules.
5	Office of the Comptroller		• Checks availability of funds once again. • Generates the TL number. • Advises the PI or admin.
6	PI/staff with State Travel Agency (GlobeTrotter)		• Books all flights after the TL number has been generated.
7	PI/staff		• Use purchase card for as many of the traveler's expenses as possible (e.g., hotel); this minimizes the need for reimbursement.
8	Traveler/admin		• Submits Maryland State request for travel reimbursement form to Accounts Payable. • **Include the employee's home address** on the reimbursement request, NOT the university's address. • Also, the complete SSN is required by the State. If you only put the Banner/MSU ID, then AP staff will have to look up and include the SSN.

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Reimbursement Form (Non-Travel Related Expenses)

Introduction: This page provides instructions for reimbursement when purchases have not been made using either P-card or requisition. However, **reimbursements should be rare**. Purchases should be done on a P-card or by requisition, wherever possible, to minimize use of non-travel-related expense reimbursements.

Notes to PI/Initiator: Please make sure

- ✓ The individual who purchased the item to be reimbursed provides an itemized copy of the purchase receipt (original printed receipt if done in person, emailed receipt is acceptable if it is an online purchase), and a brief justification for the purchase in the context of the grant/research;
- ✓ The purchase is allowable under the budget source (grant/school budget);
- ✓ Sufficient budget is available for the reimbursement;
- ✓ A requisition is entered in Banner for the total dollar amount of the reimbursement **less any sales tax charges** -- sales tax charges WILL NOT be reimbursed;
- ✓ A Non-Travel Reimbursement Form is completed (found under Comptroller Forms on the MSU webpage). There are three types of forms--research grants, Title III and State--so be sure to use the correct form;
- ✓ The reimbursement form is submitted, along with necessary receipts, through DocuSign for approval signatures. In order those signatures are: Purchaser, Supervisor, Director/VP/Dean, Grants Business Services (ORA) if applicable, MSU Comptroller.

Notes to Reviewers: Please make sure

- ✓ The amount on the receipt less sales tax charge(s) reflects what is requested on the reimbursement form; **ORA + Comptroller**
- ✓ It is an allowable expense to be reimbursed; **ORA**
- ✓ The receipt is itemized; **Comptroller**
- ✓ There are sufficient funds in the budget to allow for the reimbursement; **ORA**
- ✓ All necessary approval signatures are noted. **Comptroller**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Purchaser		• **Purchases should be done on a P-card or by requisition, if possible and allowable, to minimize use of non-travel-related expense reimbursements.** • The individual who purchased the item to be reimbursed will provide a copy of the purchase receipt (original printed receipt if done in person, emailed receipt is acceptable if it is an online purchase), and a

			brief justification for the purchase in the context of the grant/research.
2	Initiator (Admin)		• Ensures that the purchase is allowable under the budget source (grant/school budget). • Enters a requisition in Banner for the total dollar amount of the reimbursement **less any sales tax charges**. • Completes a Non-Travel Reimbursement Form (found under Comptroller Forms on the MSU webpage). There are three types of forms--research grants, Title III and State--so be sure to use the correct form. • Submits the reimbursement form, and necessary receipts, through DocuSign for approval signatures. In order those signatures are: ○ Purchaser, Supervisor, Director/VP/Dean, Grants Business Services (ORA) if applicable, MSU Comptroller
3	Purchaser's Supervisor		• Approves the reimbursement documents in DocuSign.
4	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Approves the reimbursement documents in DocuSign.
5	Office of the Comptroller	Patrick O'Brien	• Approves the reimbursement documents in DocuSign. • Provides the completed form to his admin staff who then send the completed forms to the State of Maryland.
6	State of Maryland		• Cuts a check in the purchaser's name and does direct deposit or sends the check to the mailing address on file.

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Research Working Funds (Cash/Other Incentives to Study Participants)

https://www.morgan.edu/comptroller/working-fund

Introduction: Gift cards and cash incentives may be given to study participants for various purposes, such as completing a survey. These are usually small amounts (typically less than $100) and need to be accounted for very carefully. At MSU, funds for incentives for study participants are arranged under the research working fund mechanism. Gift cards and cash incentives are often included in the “other direct cost” budget line item.

Budget Line: Pool Level 08 (Contractual Services Pool)

Spending Instrument: Check from the Bursar

Notes to PI/Initiator: Please

- ✓ If a new custodian, then a custodian agreement must be completed;
- ✓ Typically, an individual can only request $1,000 at a time from the working fund. Any amount more than $1,000 must be approved by the Comptroller’s Office before submitting documentation;
- ✓ Award amounts for incentives must not total more than $100 per award without previous approval from the Comptroller’s Office;
- ✓ The working fund process requires the fund custodian maintain a log of incentive recipients. That log must contain the date the incentive is awarded, the dollar amount of the incentive, and who it was given to. **IRB approval guidelines may make this challenging**, and if anonymity is a concern for your project, it is best to speak with the Comptroller’s Office to determine how best to proceed;
- ✓ To receive the next installment of a working fund the receipt log of the previous installment must be submitted to the Comptroller’s Office to reconcile the funds. Upon completion, the initiator can submit the next advance request form;
- ✓ If the custodian changes, then new forms need to be completed and signed, and previous forms need to be closed out. The requisition, if already established, does not need to be closed out and recreated. This is important for the timeliness needed for the research;
- ✓ In early January, after the December 31st year end, if the custodian still has an open working fund, then a reconciliation needs to be submitted to the Comptroller’s Office for the State;
- ✓ Consider using a wire transfer to pay vendors if that method is available (e.g. some mechanisms are Amazon Mechanical Turk or Tango);
- ✓ When anonymity/confidentiality needs to be assured, you would need a second person from the department/entity doing the research to confirm the validation. For example, the PI may sign on behalf of the recipient of the incentive.

Notes to Reviewers: Please make sure

- ✓ Dollar amounts of each incentive to be less than $100 and is consistent across participants, except when there is prior approval to do otherwise; **Comptroller**
- ✓ Participant signatures are present; **Comptroller**
- ✓ The receipt log total matches the disbursement amount; **Comptroller**
- ✓ The fund custodian does not have any overdue working funds. **Comptroller**

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Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	Initiator/Fund Custodian		• Consults and reviews the process with the fund custodian (e.g., project PI) who will oversee the incentive funds. • Enters a requisition for the total amount to be used for incentives and then drafts the Working Fund Advance Request Form and Fund Custodian Agreement, first time only (both found under Comptroller forms on the MSU webpage). • Once drafted, the Advance Request Form and the Fund Custodian Agreement Form, are sent via DocuSign to the fund custodian to approve. • Will also relay to the fund custodian the importance of logging who receives incentives, when they receive them, and the dollar amount awarded.
2	Fund Custodian		• Reads and agrees to the custodian agreement, and then signs both the agreement and Advance Request Form.
3	Principal Investigator		• Reviews and signs the working fund advance request form in DocuSign.
4	Supervisor		• If different from PI, the supervisor would review and sign the working fund advance request form.
5	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Signs the documents in DocuSign after review.
6	Working Fund Administrator	Danielle Burgess	• Reviews the completed forms and cuts the first installment check (based upon the figure listed on the Advance Request Form). This is a university-based checking account that is not set up for direct deposit, and is not a State account. • Emails custodian to say that the check is ready for pick up at Bursar's office.
7	Bursar's Office		• Use http://bursar.morgan.edu to verify the check's availability. • Makes check available to custodian for pick up; no one else can pick it up. If there is an emergency situation where someone else

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			needs to pick up the check, the new person should provide a signed letter/memo.
8	Fund Custodian		• Once the installment is spent down (or after a month, whichever comes first), the fund custodian will submit the completed receipt log to the initiator. The log must total the amount given in the advance from the Comptroller's Office.
8	Initiator/Fund Custodian		• Once the completed receipt log is received, the initiator can submit that log along with a new advance request form to receive the next installment of the working fund.

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Subawards from Morgan to Other Institutions

Introduction: Subawards are given to other institutions by MSU for a variety of reasons, including: having individuals with excellent credentials or expertise from the subaward recipient institutions; or gaining access to facilities and equipment from those institutions. However, subaward recipients should be limited, and they need to be chosen very judiciously. The prime institution, MSU, is responsible for the entire work, therefore giving subawards may carry a substantial risk. Furthermore, issuing subawards and subaward monitoring require a high level of administrative burden.

Notes to PI/Initiator: Please

- ✓ Given that the prime institution is responsible for all aspects of the work, please be judicious about how many subawards and what percentage of the work are given to other institutions. Please review PI Handbook 1: General Principles for more instructions;
- ✓ Provide supporting documentation and other needed information, including: statement of work, budget and budget justification, contact information for the appropriate Finance/Budget coordinator at Morgan State, and a point of contact for the partnering agency.
- ✓ Consider adequate time. Issuing subawards takes time (typically 5 to 6 weeks), as there are multiple groups within Morgan State, partnering agencies, and the State of Maryland who need to be involved.

Notes to Reviewers: Please

- ✓ Make sure that all required documents are submitted, including statement of work, budget and budget justification, and contact information for the subrecipient; **ORA**
- ✓ Check for the number of subawards and the percentage given to subrecipients. If there are more than 3 subrecipients or more than 30% of the award is being given out, consult with the AVP for Research. **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	ORA Contracts Specialist	Matthew Lee	• Reviews the NoA and supporting documentation and will reach out to the Morgan PI to obtain required information.
2	PI/PD (or designee)		• Provides supporting documentation and other needed information, including: statement of work, budget and budget justification, contact information for the appropriate Finance/Budget coordinator at Morgan State, and a point of contact for the partnering agency.
3	ORA Contracts Specialist	Matthew Lee	• Prepares subaward documents using the Federal Demonstration Partnership (FDP) template, including SOW, budget and

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			budget justification, and will send subaward to partnering agency for their signature.
4	Partnering agency		• Reviews and signs the subaward documents. Sometimes, they may request modifications to the subaward contract.
5	ORA Contracts Specialist	Matthew Lee	• Sends partially executed documents to appropriate Morgan departments for approval and countersignature. Will send fully executed agreement to partner agency and the Morgan PI team. Will alert Sponsored Programs and Restricted Funds Accounting teams.
6	The PI (or designee, could be Admin or the School Budget Officer)		• If a Vendor Registration ID doesn't already exist, completes and submits a Vendor Registration Form to Procurement, asking that they set one up the vendor (partner institution for subawards) in the procurement system.
7	Procurement	Miracle Banks Rene Milburn Constantine Hill	• Sets up the Vendor in their system and will email the PI (or the requestor on his behalf) the vendor's identification number (VID).
8	The PI (or designee with access to the funds in Banner)		• With VID in hand, enters a requisition in Self-Service Banner. Upon submitting the requisition, the system will provide a requisition number (R#). Be certain to write this number down! In addition, the PI should send a copy of the subaward agreement to Procurement. • For subawards, use account codes 08191 through 08197 consecutively as needed. This is so that the indirect costs are charged appropriately.
9	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Reviews and approves the requisition.
10	Procurement		• Reviews and processes the requisition. After their approval, requisition will turn into a Purchase Order (PO). Will send a copy of the PO to the Subawardee and will copy the PI. The Procurement Department needs to instruct the Subawardee that they need to put the PO# and other information on the invoice.
11	Subawardee		• Will submit an invoice to Accounts Payable and, if possible, the PI (or administrative

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			contact), with the PO# and other required details on it.
12	PI/PD (or designee)		• Will review the invoice, approve and write on invoice “OK to pay” and sign, and email the invoice and PO# to Accounts Payable.
13	Accounts Payable		• Will process the invoices after they are received, and the PO is complete.
14	State of Maryland		• Will issue the check to the Vendor.

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Special Compensation Form (Extra Compensation)

Introduction: Very rarely a monetary award outside of regular compensation will be granted to an MSU employee. In this instance, the ORA must submit a Special Compensation Form through DocuSign. Extra compensation is defined as:

- A monetary award
- For an MSU regular employee ONLY (not for contractual employees)
- Outside of the employee's position
- A one-time occurrence

Notes to PI/Initiator: Please make sure

- ✓ The signed award letter has been received by the ORA;
- ✓ All funds have been received and documented in BANNER by the RFA.

Notes to Reviewers: Please make sure

- ✓ The funds are indeed extra compensation and not to be confused with release-time-funded employee hours; **ORA**
- ✓ The Requestor has received the proper training; **Director of Accounting**
- ✓ Award letters are signed and dated by the proper agency official; **ORA**
- ✓ All funds have been received and documented in BANNER by the RFA; **ORA**

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI/Nominator		• Completes and submits proposal information for an extra compensation award according to the procedures defined in the Funding Opportunity Announcement and this PI Handbook 3: Grant-Related Processes *(see Pre-Award on page 5)*.
2	ORA	Team	• Receives award letter. • Follows protocols for approved awards set out in this PI Handbook 3: Grant-Related Processes *(see Setting Up an Awarded Grant on page 18)*.
3	RFA	Team	• Receives funds. • Documents received funds in BANNER.
4	Director of Accounting	Sophia Jacobs	• Authorizes a member of the ORA to submit a Special Compensation Form with specialized training.
5	ORA	Requestor	• Receives training to fill out the Special Compensation Form from the Director of Accounting.

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			• Ensures that all award documentation and funds have been received and documented in BANNER. • Collects required data from PI/Nominator about themselves and the awardee. • Defines the funding source as Grants (needing to be signed by the AVP for Research), State (needing to be signed by Director of Accounting or the Comptroller), or Auxiliary (needing to be signed by the Director of Business Services) • Completes the Special Compensation Form in DocuSign.
6	PI/Nominator		• Ensures all information is correct on the Special Compensation Form before signing.
7	Area VP		• Ensures all information is correct on the Special Compensation Form before signing. • *All Grants may be directed to the AVP for Research for signature.*
8a	Funding Source – Grants	ORA Budget Officer – ora-docusign@morgan.edu	• Ensures all information is correct on the Special Compensation Form before signing.
8b.	Funding Source – State	Sophia Jacobs or Patrick O'Brien	• Ensures all information is correct on the Special Compensation Form before signing.
8c.	Funding Source – Auxiliary	Ron Stevenson	• Ensures all information is correct on the Special Compensation Form before signing.
9	Human Resources	Odunda Osunji	• Ensures all information is correct on the Special Compensation Form before signing.
10	State of Maryland		• Releases award funds to the awardee.

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DEVIATIONS FROM THE ORIGINAL PLAN

Change of Principal Investigator or Key Personnel

Introduction: Sometimes the PI, or other key personnel, need to be replaced. The process for PI change is documented below.

Notes to PI/Initiator: Please

- ✓ Submit the following information to the ORA
  - The reason for PI change;
  - Qualification of the new PI (e.g., CV or biosketch);
  - Percent effort of the new PI;
  - Other Support document(s) (to show that the effort will not go above 100%);
  - Financial ramifications of the change (if the project has enough funds).

Process:

	Office (Person)	Primary/Back-Up Person	Role
1	PI (if still active and at MSU) OR Chair (If the PI has left MSU or is no longer active on the grant)		• Submits the following information to the ORA: ✓ The reason for PI change; ✓ Qualification of the new PI (e.g., CV or biosketch); ✓ Percent effort of the new PI; ✓ Other Support document (to show that the effort will not go above 100%); ✓ Financial ramifications of the change (if the project has enough funds).
2	ORA	Ailing Zhang Farin Kamangar	• Submits this information via email or the right portal to the agency, requesting approval of the PI change.
3	ORA	Ailing Zhang Farin Kamangar	• Following receipt of approval, informs the key individuals (the new PI or key personnel, chair, dean, and RFA).
4	PI or designee		• Informs HR so that the grant index and fund are no longer charged for the previous PI's effort, and instead they are charged for the new PI's effort.

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Change in Time and Effort of Key Personnel

Introduction: Sometimes agencies, such as the NIH, request prior approval for a substantial change of effort percentage. This is typically for a relative effort change of 25% or higher. For example, if a PI spends 40% of his/her time on a grant, a relative change of 25% will be 0.25 x 40% = 10%. Therefore, if the PI increases his/her time to 50% (40% + 10%) or more, or reduces his/her time to 30% (40% - 10%) or less, prior permission may be needed.

Notes to PI/Initiator: Please

- ✓ Submit the following information to the ORA,
  - Requested percent change in effort;
  - The reason for the change in effort;
  - Documentation of how the project will move forward, if the effort is decreasing;
  - Other Support document(s), if the effort is increasing;
  - Financial ramifications of the change, if the effort is increasing.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI		• Submits the following information to the ORA: ✓ Requested percent change in effort; ✓ The reason for change in effort; ✓ Documenting how the project will move forward, if the effort is decreasing; ✓ Other Support document, if the effort is increasing; ✓ Financial ramifications of the change, if the effort is increasing.
2	ORA	Ailing Zhang Farin Kamangar	• Submits this information via email or the right portal to the agency, requesting change in effort.
3	ORA	Ailing Zhang Farin Kamangar	• Following receipt of approval, informs the key individuals (the PI, key personnel.
4	PI or designee		• Informs HR to change percent effort to the grant index and fund.

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Reallocating Budget Across Budget Lines

Introduction: The PI may (for good reasons) need to move funds from one line to another (e.g., from Line 02 to Line 08).

Notes to PI/Initiator: Please

- ✓ Do a journal entry in Banner, requesting the transfer of funds;
- ✓ Submit the following information to the ORA Budget Officer:
  - The reason that money needs to be added to the line for which additional budget is requested;
  - State of affirmation that removing funds from the line from which the budget is deducted will not cause a problem in the management of the project;
  - Statement of affirmation that such reallocation is allowable, consistent with the terms of the award, and will not result in change of scope of the project;
  - Proper calculation of budget when reallocation is between lines with and without indirect cost.

Process:

	Office (Person)	Primary/Back-Up Person	Role
1	PI or designee		• Does a journal entry in Banner, requesting the transfer of funds. • Submits the following information to the ORA Budget Officer: ✓ The reason that money needs to be added to the line for which additional budget is requested; ✓ State of affirmation that removing funds from the line from which the budget is deducted will not cause a problem in the management of the project; ✓ Statement of affirmation that such reallocation is allowable, consistent with the terms of the award, and will not result in change of scope of the project; ✓ Proper calculation of budget when reallocation is between lines with and without indirect cost.
2	ORA Budget Officer	Lucy Manyara Shamon Shine-Lee	• Reviews and approves the budget transfer.
3	RFA		• Transfers the budget.
4	The PI or designee		• Reviews Banner to check if the transfer was done appropriately.

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Carry Over of Funds

Introduction: Carry over refers to moving funds remaining from one project period (e.g., Year 2) to the next project period (e.g., Year 3). Quite often funds remain, and the funds need to be moved.

Notes to PI/Initiator: Please

- ✓ Review the Notice of Award to see if carrying budget from one period to another needs, or does not need, pre-approval from the agency;
- ✓ If it requires pre-approval, submit the following information to the ORA:
    - The unobligated balance;
    - The reason(s) for not being able to spend the funds;
    - The plan for using the funds in the next period, and how they are allocable to the project. The funds should be spent for one-time expenses (e.g., buying an equipment, some supplies, etc.) but not for recurring expenses.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI		• Reviews the Notice of Award to see if carrying budget from one period to another needs, or does not need, pre-approval from the agency. • If it requires pre-approval, submits the following information to the ORA: ✓ The unobligated balance; ✓ The reason(s) for not being able to spend the funds; ✓ The plan for using the funds in the next period, and how they are allocable to the project. The funds should be spent for one-time expenses (e.g., buying an equipment, some supplies, etc.) but not for recurring expenses.
2	ORA	Ailing Zhang Farin Kamangar	• Submits this information via email or the right portal to the agency, requesting change in effort.
3	ORA	Ailing Zhang Farin Kamangar	• Following receipt of approval, informs the key individuals (the PI, key personnel).
4	Restricted Funds Accounting	Jeff Copeland or colleagues	• Transfers the funds to the next period.

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No-Cost Extension

Introduction: No-cost extension is a request to allow the continuation of the study beyond the originally agreed-upon period of performance, without asking for extra funds. In other words, the PI asks that the project period be extended such that the remaining work is completed and the remaining funds are expended. The following steps need to be taken.

Notes to the PI/Initiator:

- ✓ First no-cost extension: Many federal agencies grant the first no-cost extension automatically, as long as the request is submitted in time. Check the Notice of Award and check with the ORA;
- ✓ The second or third no-cost extension: Submit the following information to the ORA:
    - Detailed explanation of why the project could not be completed by the originally approved end date;
    - Scientific rationale for continuing the project;
    - If requesting a third extension (rarely approved), compelling scientific justification that warrants a third and final extension;
    - A brief progress report that communicates the scientific progress made from submission of the last RPPR to the present;
    - Amount of Direct Costs and Facilities and Administrative (F&A) costs remaining (estimated unobligated balance) in U.S. dollars.
- ✓ Request for second or third no-cost extension typically needs to be submitted to the agency 45 days prior to the final date of the award. Please build in enough time.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI		• First no-cost extension: Many federal agencies grant the first no-cost extension automatically, as long as the request is submitted in time. Ask the ORA. • Second or third no-cost extension: Submit the following information to the ORA: ✓ Detailed explanation of why the project could not be completed by the originally approved end date; ✓ Scientific rationale for continuing the project; ✓ If requesting a third extension (rarely approved), compelling scientific justification that warrants a third and final extension; ✓ A brief progress report that communicates the scientific progress made from submission of the last RPPR to the present;

			✓ Amount of Direct Costs and Facilities and Administrative (F&A) costs remaining (estimated unobligated balance) in U.S. dollars.
2	ORA	Ailing Zhang Farin Kamangar	• Submits this information via email or the right portal to the agency, requesting no-cost extension.
3	ORA	Ailing Zhang Farin Kamangar	• Following receipt of approval, informs the key individuals (the PI, key personnel).
4	Restricted Funds Accounting	Jeff Copeland or colleagues	• Extends the period of performance of the project.

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Labor Redistributions

Introduction: Labor redistributions may need to happen if a person's pay (regular or contractual) has been incorrectly charged to your grant index and fund, or someone's pay that should have been charged to your grant is missing, or the percentage is incorrect.

The best way to learn about correct charging of salaries on each grant is for the PI (or their designee) to review Banner pay reports (NHIDIST) on a monthly basis. If you don't have access to this report (and most people do not), you can request it from your Restricted Funds Accountant.

Notes to PI/Initiator: Check the NHIDIST on a monthly basis (or as frequently as possible). If there are errors, complete a labor redistribution request form, obtained from the RFA. Submit the form to the Restricted Funds Accountant via DocuSign. If the labor redistribution request has taken over 90 days after the transaction, or after effort certification, an additional signature must be obtained from the respective VP.

Note: Every effort needs to be made for labor to be charged to the right index and fund. Labor redistributions must become as infrequent as possible.

Process:

	Office (Person)	**Primary/Back-Up Person**	**Role**
1	PI or designee		• Checks the NHIDIST on a monthly basis (or as frequently as possible). • If there are errors, then completes a labor redistribution request form, obtained from the RFA. • Submits the form to the Restricted Funds Accountant via DocuSign. • If the labor redistribution request has taken over 90 days after the transaction, or after effort certification, an additional signature must be obtained from the respective VP.
2	Restricted Funds Accountant		• Reviews and, if in agreement, submits the request to HR for further processing.
3	HR		• Reallocates the pay and changes the cost center for future pays as appropriate.

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APPENDICES

Appendix 1. ORA Staff

Title	Name	Phone Number	Email
Associate Vice President of Research	Farin Kamangar, MD, PhD	301-655-9280	farin.kamangar@morgan.edu
Director, Research Compliance	Edet Isuk, PhD	443-885-4340	edet.isuk@morgan.edu
Director, Office of Research Administration	Gillian Silver	443-885-3541	gillian.silver@morgan.edu
Senior Grants Manager	Ailing Zhang	443-885-4118	ailing.zhang@morgan.edu
Contract Specialist	Matthew Lee	443-885-4390	matthew.lee@morgan.edu
Budget Development Specialist	Deshun Li	443-885-3309	deshun.li@morgan.edu
Budget Officer	Lucy Manyara	443-885-3544	lucy.manyara@morgan.edu
Budget Officer	Shamon Shine-Lee	443-885-4764	shamon.shine-lee@morgan.edu
Training and Communications Coordinator	Ryan Mobley	443-885-4771	ryan.mobley@morgan.edu
Grant and Contract Manager	Poline Mirithu	443-885-2503	poline.mirithu@morgan.edu
Grant Administrator	Becca Steiner	443-885-4044	rebecca.steiner@morgan.edu

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Grant Administrator	Katherine Talton	443-885-4158	katherine.talton@morgan.edu
Grant Administrator	Taylor Boone	443-885-5291	taylor.boone@morgan.edu

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Appendix 2. MSU Information Needed for Grant Submissions

- **Unique Entity ID (UEI):** KULSKCCZJT27
- **Entity Identification Number (EIN):** 52 6002033
- **North American Industry Classification System (NAICS) Code:** 6113105
- **Standard Industrial Classification (SIC) Code:** 8221
- **Animal Welfare Assurance #:** pending
- **Contract Registration:** suj6sb
- **Human Subjects Assurance: FWA00003318** (Ident: IRB00002142, Name: Morgan State U IRB1, City: Baltimore, State or Country, Maryland)
- **Commercial and Government Entity (CAGE) Code:** 8U547
- **Congressional District** of Morgan State University: MD 7th (MD-007)
- **Cognizant Federal Agency** (Agency Name, POC Name and POC Phone Number: (DHHS, Robbin Powell, 301,492-4855)
- **System for Award Management (SAM) Expiration Date:** May 25, 2023
- **MSU's official address**: 1700 E. Cold Spring Lane, Baltimore, MD 21251-0001
- **Dun & Bradstreet, or DUNS #:** 879941318 (phased out as key ID 4.4.2022)

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Appendix 3. Important DOs and DON'Ts

DOs

- DO consult this manual for each process.
- DO read the entire Funding Opportunity Announcement and Notice of Award carefully.
- DO review the budget justification for major expenses and submit the supporting documents as described for each process in this document.
- DO review the burn rate of your expenses periodically, such as every 3 months. For example, contractual salaries pool.
- DO reconcile your P-card on a monthly basis.
- DO review the proper instrument of spending for each expense.
- DO allow appropriate lead time for administrative tasks, e.g. travel processing or contract processing.
- DO consult the Notice of Award for allowability of international travel when such travel is considered.
- DO make sure that salaries and wages are charged to the correct account to minimize any labor redistribution requirements.

DON'Ts

- DO NOT consider extra compensation, beyond institutional base salary, for internal MSU employees. Compensation beyond institutional base salary should be rare, and proper permissions should be
- obtained. Please consult PI Handbook 5: Research Policies and Guidelines.
- DO NOT consider consulting payment to internal MSU employees.
- DO NOT assume P-card expense is allowable. Please check budget justification and P-card Users' Guide.
- DO NOT spend substantial funds on supplies and equipment near the end of the performance period of the project. Such expenses are typically not allocable to the project and may be an audit risk.
- DO NOT purchase food using federal grants unless the award specifically allows for it. Food may be considered only if reasonable and necessary, such as when a working meeting has to be stopped unless food is provided. Even then, please receive prior permission. Food is typically NOT allowable using federal funds for recurring meetings, such as weekly lab meetings.
- DO NOT purchase supplies for personal or office use that is not related to the grant. For example, purchasing general supplies such as printer ink or paper may not be allowable, unless specifically utilized for the grant.

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Appendix 4. Spending Instruments

Spending Instrument	Expenses
Release Time	• Course release for MSU faculty and staff (for academic year or for 12-month employees)
Timesheet (following approval of PF10 or EPAF)	• Contractual and Regular Salaries • Wages
P-card	• Supplies with a total less than $5,000 • Travel (hotels and registrations)
Requisition	• Contractual Services • Consultancy • Equipment • Supplies with a total over $5,000 • Travel (following an approved Travel Authorization Form) • Non-Travel Reimbursement • Catering
Memos	• Stipends • Honoraria • Tuition • OK-to-Pay Invoice Authorization

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Appendix 5. Procurement Matrix

Amount	Spending Instrument	Final Reviewer	Notes
≤ $2,500	P-card	P-card Office	• Obtain 2 quotes, unless sole source
> $2,500 but ≤ $5,000	P-card	P-card Office	• Obtain 3 quotes, unless sole source
> $5,000 but ≤ $10,000	Requisition	Procurement	• Bid Board for at least 3 days • Obtain 3 quotes, unless sole source
> $10,000 but < $25,000	Requisition	Procurement	• Bid Board for at least 10 days • Obtain 3 quotes, unless sole source
≥ $25,000 but < $1,000,000	Requisition	Procurement	• eMarylandMarketplace (eMM) for 20 days • Obtain 3 quotes, unless sole source
≥ $1,000,000	Requisition	Board of Public Works	• TBD

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Appendix 6. MSU Chart of Account Codes

Pool Level	Account Level	'Type'	'Description'
1		L	Regular Earnings Pool
1	01011	L	26 Pay Faculty
1	01012	L	26 Pay Admin Faculty (July Contract)
1	01015	L	Admin Staff-Regular
1	01040	L	Overtime Earnings
1	01100	L	Miscellaneous Adjustments
1	01510	L	Social Security Contribution
1	01520	L	Health Insurance
1	01540	L	Retiree Health Insurance
1	01620	L	Employees' Pension System
1	01640	L	Teachers Pension System
1	01680	L	Optional Retirement Plan
1	01740	L	Unemployment Compensation
2		L	Contr Sal Wages Payments & Bene
2	02010	L	Honorariums
2	02030	L	Support Help
2	02102	L	Contractual Student (Under Grad)-HR
2	02103	L	Contractual Student (Grad)-HR
2	02130	L	Social Security Contribution
2	02140	L	Unemployment Compensation
3		E	Communications Pool
3	03010	E	Postage (1st Class)
3	03970	E	Paycheck Mailing Costs
4		E	Travel Pool
4	04010	E	In State Routine Travel
4	04020	E	In State Conference Seminar
4	04030	E	Out Of State Routine Travel
4	04040	E	Out Of State Conference Seminar
4	04041	E	Out Of Country Travel
8		E	Contractual Services Pool
8	08040	E	Print Reproduction
8	08090	E	Equipment Rep Maint
8	08110	E	Food Services
8	08120	E	Building/Road Repair & Maintenance

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Pool Level	Account Level	'Type'	'Description'
8	08190	E	Education/Training Contracts
8	08191	E	Grant Subcontract Cost(F&A-$25KMax)
8	08192	E	Grant Subcontract Cost(F&A-$25KMax)
8	08194	E	Grant Subcontract Cost(F&A-$25KMax)
8	08195	E	Grant Subcontract Cost(F&A-$25KMax)
8	08196	E	Grant Subcontract Cost(F&A-$25KMax)
8	08197	E	Grant Subcontract Cost(F&A-$25KMax)
8	08210	E	Mngt Study Consult
8	08240	E	Laboratory Services
8	08260	E	Freight And Delivery
8	08580	E	Software Licenses
8	08610	E	Applications Software (Acquisitions)
8	08980	E	Data Proc -Other Cont- Serv
8	08992	E	Event Support
8	08999	E	Others
9		E	Supplies Pool
9	09021	E	Office Supplies
9	09030	E	Audio Visual Supplies
9	09040	E	Building And Household
9	09060	E	Laboratory
9	09090	E	Medical Supplies
9	09140	E	Instructional Supplies
9	09151	E	Library Supplies
9	09330	E	Software/Upgrades
9	09950	E	Purchasing Card
9	09990	E	Specialty Items
9	09991	E	Equipment <$2,500.00
9	09993	E	Equipment >$2,500 & <$5,000
11		E	Equipment Pool
11	11020	E	Audio Visual Equip
11	11071	E	Instructional Equipment
11	11100	E	Laboratory Equip
11	11150	E	Office Equipment
11	11990	E	Other Equipment
12		E	Grants and Contributions Pool
12	12042	E	Undergrad Educational Stipend

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Pool Level	Account Level	'Type'	'Description'
12	12043	E	Grad Educational Stipend
13		E	Fixed Charges Pool
13	13040	E	Subscriptions
13	13050	E	Association Dues
14		E	Land & Structures Pool
14	14150	E	Bldg Add Improvements
14	14420	E	Building Interiors
15		E	Indirect Cost Pool
15	15150	E	Indirect Cost