

## Responsibilities for Extension Local Unit Administration of Extramural Funds Form

This discussion form should be completed by the Local Unit Extension Director, Extension Council Executive Board/District Governing Body Chair, and Area Extension Director during the very initial stages of the proposal development process for any grant submission in excess of \$3,000. Some extramural funds are available only to Councils and Districts, and not to the University. Some funds are only available through the University. Other funds can be administered by either partner. This form is for use in determining whether extramural funds for a particular proposal are best administered through the Council/District or the University. This discussion form is not exhaustive, and there may be other issues that need to be addressed.

**NOTE:** If the grant and/or project objective includes research or any other activity that involves any of the compliance issues associated with the use of human subjects\*, radioactive materials, live vertebrates, or biohazard agents, then the proposal must be processed through the University in order to insure that the University maintains compliance with all applicable statutes and regulations. [\*Human subject's use includes the performance of surveys, interviews, etc., and the use of live vertebrates includes activities performed that involve lab animals, as well as food/farm and companion animals].

**QUESTIONS:** (These questions refer to all sources of extramural funds, whether derived from grants, contracts, reimbursements from other agencies or other sources of funds, excluding gifts.) **If any of these questions are answered "No", then the proposal must be processed through the University.**

1. Is the local Extension unit willing to assume financial responsibility for the grant, including the cost of a special audit if required?
2. Does the Local Unit have the cash flow capacity to handle a cost-reimbursable grant?
3. Does the Local Unit have trained support staff to handle grant accounting and reporting?
4. Does the Local Unit have staff capacity to meet the grant obligations if the original primary agent leaves the system?
5. Does the Local Unit have the knowledge to comply with audit and accountability requirements imposed by the granting source?
6. Does the Local Unit have adequate resources available to meet and document match commitments, if required?
7. If the grant is being awarded to a multi-county area is there one Local Unit willing to assume the financial and reporting responsibility?
8. Does the grant enhance the plan of work for the Local Unit and do the agents involved have time available to dedicate to the project?
9. Can the proposed project/activity be performed within the Sponsor's grant/agreement guidelines without the specific formal commitment of time and effort including anticipated sub-contractual arrangements) of any K-State Research and Extension employees?

Funding Agency/Program Identifiers \_\_\_\_\_

Anticipated Proposal Title \_\_\_\_\_

Anticipated Submission Date and Duration \_\_\_\_\_

\_\_\_\_\_  
Local Unit Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Local Unit Board Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
Area Extension Director

\_\_\_\_\_  
Date

## Soliciting Extramural Funds for Extension Programs

Extramural funds are often useful to address new priorities, expand on-going work to new audiences, and to implement new evidence-based practices or applications. However, grant acquisition and management may be costly, and there may be other more beneficial ways to generate resources. In order to make grants more manageable, several questions must be answered before the local unit decides to pursue a grant and prepare a proposal for submission:

- Is the proposal consistent with the short- or long-term plan of work of the local Extension unit?
- What is the cost/benefit of applying for the grant? One aspect of cost/benefit is determined by considering the average award and the percentage of grants made, to the total number and value of proposals received. Then, consider the approximate cost to prepare the proposal.
- How closely does the local Extension unit come to the type of organization the source has historically funded? If national and statewide organizations have received most previous awards, a grassroots/community-based group may have difficulty meeting the expectations.
- What kinds of strings (e.g., reporting requirements, marketing expectations, etc.) are attached as conditions of grant support?
- What type of management plan (staffing, fiscal, communication, reporting, etc.) is required to complete the objectives of the grant within the time frame allowed?
- Assess local ability to perform based upon the capabilities of the Local Unit as well as the adequacy of the grant funds. Will financial and human resources be sufficient to meet all responsibilities or will already over-committed staff be stretched even further? Grants provide for expanded services, efforts, and research. They should not be used to support existing infrastructure or to "bail-out" other budgets.
- What expectations will have been established in the community when external support ends? Will a necessary service be established that has little likelihood of continuing? While there may be an expectation that the program will continue, there must be an honest appraisal of the local Extension unit's capacity to offer the program after grant funds run out.

### Considerations for Effective Grant Management

There are many considerations for effective grant management in determining whether a local Extension unit or Kansas State University is the appropriate entity to administer the grant.

Local units may be able to compete more effectively for some grants than Kansas State University. Local visibility is enhanced when the local Extension unit is seen as a positive, contributing local agency. The local unit can use local hiring and purchasing procedures and can determine salaries and wages based on local wage scales. Local units may be able to charge indirect costs if they have an approved policy and if the granting agency will pay these costs.

There are also advantages for processing grants through Kansas State University. KSU can assist with cash flow and can also assist with local expenditures through use of a KSU procurement card. KSU would be responsible for audit expectations and is already familiar with grant accounting procedures and documentation requirements for match, if required. KSU procedures include appropriate consideration and protection of publication and intellectual property rights. There are other considerations important to the administrative management decision process. Local units must still meet grant expectations if the principal investigator leaves before the project is finished. Proposals funding multiple local unit or local unit blocks make it necessary to determine the lead local Extension unit to receive and monitor the funds if the grant is not administered through the University. If involvement of a content specialist is necessary, the local unit may need to enter into a sub-contract, reimbursement process or Memorandum of Understanding in order to accomplish the objectives outlined in the proposal.

To facilitate the decision process, a *Responsibilities for County Extension Local Unit Administration of Extramural Funds* form, KSU 1-13, will be completed by the local unit Extension Director, Extension Board, and Area Extension Director during the very initial stages of the process. After completing the checklist, the parties determine whether the funds are best administered through the local Extension unit or the University.

## **Procedures Regarding Grants and Contracts**

The local unit Extension Director, the Extension Board, and Area Extension Director, representing the Director of Extension, assess a proposed project's compatibility with priority programs when considering whether or not to seek outside funding and discuss how to manage the funds if an award is granted. This process includes evaluating the feasibility of achieving expected outcomes and how or if the program will be funded after the grant ends.

- Proposals for grants affecting the local Extension unit, including cooperative projects involving grants received and managed by other agencies, should be reviewed and approved by the local unit Director, Extension Board and Area Extension Director prior to submission.
- Grant administration (whether through the local unit or processed through Kansas State University) will be determined after careful consideration of administrative responsibilities during the discussion of the proposal. For any grant submission in excess of \$3,000, the local unit Director, Extension Board and the Area Extension Director will jointly make this determination and will all sign the Responsibilities for County Extension Local Unit Administration of Extramural Funds Form, KSU 1-13.
- When the local Extension unit is responsible for the grant (including but not limited to signing vouchers, signing checks, hiring and terminating grant-funded county employees [county hires, not KSU employees] and reviewing accountability reports), the Area Extension Director will review all financial reports on a monthly basis to provide additional accountability.
- The local unit Extension Director will present the Area Extension Director the following reports for each grant awarded: details on each voucher/check, monthly budget-to-actual report, monthly itemized category report, and programmatic report.
- When the grant will be administered by the local Extension unit, the proposal should clearly state that the award will be made to the local Extension unit and not made to Kansas State University or K-State Research and Extension.

## **K-State Research and Extension Excellence Fund**

If a grant funder requires the grant recipient to be a 501(c)(3) designated organization, the Kansas State University Foundation Extension Excellence Fund (D29540) can serve as the recipient depository. Funds will be distributed through the Foundation upon written authorization on an expense reimbursement basis.

Grants, contracts and other sources of extramural funds are, and will continue to be important contributors to budgets, research, and educational programs of local Extension units. K-State Research and Extension supports appropriate pursuit of grants that align with local and statewide priorities.

Revised October 2015