CALIFORNIA STATE UNIVERSITY, LOS ANGELES
INTERIM
UNIVERSITY AND AUXILIARY FISCAL POLICY
GRANTS & CONTRACTS
ONE-UP (NEXT LEVEL) AUTHORIZATIONS & APPROVALS

PURPOSE

To establish policy and procedures for one-up (next level) authorizations of disbursements from grant or contract funds awarded to the University from any public or private source.

REFERENCES

Education Code §89900(b); Title 5 §42401, §42402.

POLICY

1. **Principal Investigators (PI) may not authorize or approve reimbursement of their own expenditures.**
2. **A PI may not authorize or approve reimbursement of expenditures by or for a superior.**
3. **A PI may not authorize or approve reimbursement of expenditures made by a relative or spouse - whether Co-PI, grant/contract employee, or external consultant. (Such situations require appropriate disclosures, approvals at the time of proposal, and a next level approver if accepted).**
4. **Delegations of Approval from Faculty PI of Record to Co-PI(s) must be communicated in writing prior to approvals.**
5. **Non-Faculty PI's may not delegate approval authority for grant/contract disbursement; the non-Faculty PI uses the next level approver.**
6. **Fiscal Resource personnel are not authorized approvers.**
7. **At the recommendation of the Provost/VPAA or applicable Vice President, the President approves MPP overload requests. (Reimbursed release time is not available to MPP).**

The attached Interim Procedures apply to approved faculty and non-faculty PI's as indicated. Any questions regarding these procedures should be directed to the Office of the Campus CFO/VPAF. Any exceptions to these Interim Procedures must be made with the concurrence of the Provost/VPAA and the Campus CFO.

This policy is effective immediately.

APPROVED: _____
Steven N. Garcia, Campus CFO/VPAF

DATE:_____

INTERIM PROCEDURES
ONE-UP (NEXT LEVEL) APPROVERS - GRANT/CONTRACT DISBURSEMENTS

PRINCIPAL INVESTIGATORS	APPROVERS	REQUIRED FOR
Faculty: Non-Chair PI of Record **Non-Faculty: PI Mgr./Administrator**	**Chair or Asst/Assoc Dean [1]** **Associate/Assistant Vice President**	**Reimbursement for budgeted project costs related to:** **(A) Travel, including Reimbursable Travel Approval forms;** **(B) PI/PD time [2], including timesheets for Faculty overload and quarter off, employment forms (ETR's); and** **(C) Other properly documented out-of-pocket expenditures.**
Chair **Assistant/Associate Dean** **Associate/Assistant Vice President**	**Asst/Assoc Dean or Dean** **Dean** **Vice President**	**Same as above.**
Dean **Vice President** **Provost/VPAA**	**Provost/VPAA** **Provost/VPAA** **Campus CFO**	**Same as above.**
All Other Grant/Contract Employees Not Classified Above. **This includes:** **Non-PI Faculty members, Students, External Consultants, and CSU Faculty from another campus.**	**Faculty PI of Record & Non-Faculty PI.** **Note:** *The Faculty PI of Record may delegate authority to Co-PI(s) to approve timesheets for their student grant employees. This delegation must be determined in advance of any approvals and submitted in writing to the Co-PI, with copies to the Chair, Dean, and Contracts & Grants Pre/Post Award Offices.*	**Budgeted project costs, including employee timesheets, direct pay requests, purchase orders; overload & quarter off time by non-campus faculty**.

1. Athletics Director approves for Coaches; University Librarian approves for Librarians.
2. Does not pertain to Reimbursed Time.

PI/CO-PI Arrangements

The following examples are provided to help faculty members manage disbursements for PI/Co-PI grants/contracts. The examples assume a PI of Record; however, if no differentiation is made between PI and Co-PI, then an individual's PI classification is used as the criteria for next level approvals (see *Interim Procedures* above).

Examples:

1. PI of Record is non-Chair Faculty with Co-PI non-Chair Faculty member(s).
- Chair approves reimbursement requests for PI of Record.
- PI of Record approves reimbursement requests for Co-PI.

2. PI of Record is Chair with Co-PI Faculty member(s).
- Dean approves reimbursements for the Chair.
- Chair approves reimbursements for the Co-PI Faculty member(s).

3. PI of Record is Dean with Co-PI non-Chair Faculty, or Co-PI is Dept. Chair.
- Provost approves Dean's reimbursements/overload.
- Dean approves reimbursements for Co-PI Faculty Members.

4. PI of Record is Faculty member with Co-PI Chair.
- Dean approves reimbursements for both PI of Record Faculty member and the Co-PI Chair.