Workflow Process Manual

Principal Investigator Support Unit (PISU)

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1- **List of Acronyms:**

PISU: Principal Investigator Support Unit

OSP: Office of Sponsored Programs

PI: Principal Investigator

GAS: Grants Accounting Services Office

SCM: Supply Chain Management Office

LOE: Level of Effort

PR: Purchase Request

PO: Purchase Order

DPR: Direct Purchase Request

DPO: Direct Purchase Order

TR: Travel request

GPR: General Payment Request

SAP: System Application and Product. Enterprise application software used by AUC for financial management and reporting

WBS: Work Breakdown Structure. Number on SAP consistent with each line item on the sponsor-approved budget

2- Introduction / Purpose:

This document is designed to describe the PISU role and work process with PIs and other partner departments, to help them in the administration of sponsored projects at AUC.
The main aim of the PISU is to work with Principal Investigators in the management of externally funded grants programs' budgets, and be responsible for the financial and logistical aspects of the grants.
All financial related transactions, documentation and logistical activities initiated by the PIs shall be processed, monitored and controlled by the unit.

3- Background:

Historically, PIs managed the sponsored grants projects' financials at AUC through either dedicated finance personnel hired on the headcount of the grant (if the grant size allows) or otherwise through the department/or other designated financial staff member.

The PISU was created, among other reasons, to form a permanent and sustainable organizational structure responsible for the financial management of externally funded grants programs, which does not vary between schools and centers, and hence significantly simplifies the assignment and accountability of financial personnel. Additionally, the new structure ensures that the quality of the output expected from all work related to grant management will be consistent and maintained at a high standard, rather than there being variance in the expertise and/or grant management process across projects. Furthermore, the unit staff's scope of work ensures well-defined and specialized areas of responsibilities.

4- PI Support Unit Mission and Vision:

Mission:
The PISU mission is to assist principal investigators (PIs) in quality management of sponsored programs grants' budgets through handling related financial and logistical aspects; while providing a highly customer oriented and optimized level of service, and ensuring compliance with the sponsor requirements as well as AUC policies and procedures.

Vision:
To grow into a highly recognized center of expertise and excellence in grants budget management and establish a leading role for the function within AUC and the region.

5- PI Support Unit Team Members:

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6- Roles and Responsibilities:

- **PI Support Unit:** PISU is the structured body responsible for the financial and logistical management of grants received by AUC and processed by the Office of Sponsored Programs. The PISU offers high quality services while operating in accordance with AUC and the sponsors' policies and procedures, standards of ethics, and integrity.
  Specific services include;
  - Planning the grant's activities financial needs with the PIs, and coordinating with other AUC partner departments to fulfill them throughout the project lifecycle
  - Financial management and implementation of the project in accordance with sponsor requirements
  - Initiating transactions, and handling related logistics; such as, but not limited to: Compensation, Purchases, Travel…etc.
  - Tracking and controlling expenditures versus budget
  - Financial/budget analysis and re-budgeting as needed

- Ensuring that cost-sharing or matching commitments are fulfilled and reported in a timely manner
- Preparing informal financial progress reports; and reviewing the official draft reports prepared by GAS
- Coordinating and liaising with OSP, GAS and other partner departments throughout the entire process.

- **PIs:** The role of the PI is to manage and implement the grant's technical requirements, day-to-day related administration, and financial tracking and approval of the project as agreed in the agreement and award summary.

- **OSP:** The Office of Sponsored Programs represents the University in its dealings with external sponsors. The office assists faculty members in identifying potential funding sources, as well as developing and submitting proposals. Additionally, the office administers all awards and monitors compliance with the sponsor's rules and regulations, as well as AUC's policies and procedures.

- **GAS:** The role of GAS (Grants Accounting Services) office is to manage financial functions, activities, and tasks related to externally-funded agreements and to ensure compliance with AUC policies and procedures as well as those of the funding sponsors.

- **Partner Departments:** These are the key service departments at AUC integral in the implementation of the various aspects of the grant project (example Supply Chain Office, HR, Travel Office, …etc.).

7- PISU Workflow Process:

The following section outlines the PISU workflow process to manage the grant throughout its life cycle, and clarifies the key steps, requirements and nature of interaction between PISU, PIs and other related departments.

1) **Upon signature of the award:**
   ➔ **Conduct kick-off briefing meeting** (PISU; PI; grant admin. and OSP designated team member); Upon receiving the award summary, the PISU initiates a project kick-off meeting with the PI, grant admin. team and OSP designated member. Objective is to align on the key implementation requirements and priorities for the project, address potential clarifications from all parties, and agree on next steps.

   ➔ **Agree grant approvals queues;**
   Since the PI (and co-PI if any) is considered the designated entity by the University for the grant project, he/ she is authorized to approve related expenditures. The PI/ co-PI provides initial approval for the grant expenditures, and the PIs supervisor (e.g. Department head or Dean/ associate Dean) is delegated to authorize the expenditures.
   Following the kick-off meeting, the PI initiates an "Approval Queues Form" listing the names of AUC employees responsible for the grant's approvals steps (Sample form in Attachments 10-C).

2) **Within 1-month post award signature:**

   PI sends to PISU;
   a) **Project activities timeline:** The project activities timeline outlines the key activities, events and tasks that will take place across the lifetime of the grant, spread across the year(s).
   Objective is to align on the work priorities early on in the project, and pre-plan next steps and needed actions with other departments as needed (Sample form in Attachments 10-C).
   b) **Purchasing plan (with timeline):** Objective is to agree on the purchasing needs for the whole project, to allow planning with SCM and ensure we get the best deals and meet requested timings (Sample form in Attachments 10-C).
   c) **Staff hiring plan (with timeline):** Objective is to agree on requested personnel needs and hiring timeframe for the project, to plan accordingly with HR (Sample form in Attachments 10-C).

3) **On-going throughout the grant project duration:**

➔ **PISU and PI work together on the initiation, implementation and processing of the grant's financial requirements, transactions and expenses, as per agreed plans and budget** (for details of roles by function for each type of service area and timeline estimates please refer to sections 8 and 9. For workflow detailed steps refer to Attachment 10-A).

➔ **PISU provides interim periodic financial reports with recommendations for needed actions;**
   - For grants with duration scope one year or less ➔ every quarter.
   - For grants longer than one year ➔ every six months.

   These reports will serve as a tracking tool to highlight spending to date versus commitments and initial budget. Objective is to monitor the project progress versus objectives, and allow for any needed corrective actions.

   To note, for grants which already have quarterly financial reports as part of their official reporting schedule (ex. federal grants), PISU role will be mainly to review the drafts issued by GAS ahead of PI approval, and provide recommendations for actions. For other grants which have longer span official reports (ex. Mellon Foundation), PISU will issue interim ones as per above timeline.

➔ **PI sends to PISU updated versions for the following documents;**
   a) Project's activities timeline
   b) Purchasing plan
   c) Staff hiring plan

   As the project progresses, changes and revisions may take place in the activities timings and/ or needs. Hence the above 3 documents need to be updated by the PI on a regular basis (target every quarter for grants with duration scope one year or less, and bi-annual for grants longer than one year) to reflect any change and take the needed actions accordingly.

➔ **GAS prepares periodic official financial reports**, as per the award reporting schedule and conditions.

➔ **PI prepares periodic technical reports,** as per the award reporting schedule and conditions.

4) **Three months before the grant closing date:**

➔ **PISU sends to the PI pre-closing financial status report with recommendation for actions;**
   Objective is to track the project financial status and progress versus commitments and targets 3 months before the grant closing date; and review outstanding activities that need to be finalized before grant closure to plan needed next steps accordingly (ex. actions in case of unspent budget, possible need for extensions or reallocations, purchasing plans status…etc.).

5) **Upon closing of the grant:**

➔ **PI sends all pending payment requests to PISU** *before* the closing deadline, as per the award conditions and lead-times requirements.
➔ **PISU finalizes all pending payments processing** with GAS as per the grant's requirements and deadlines.
➔ **Final financial report issuing:**
   - GAS prepares the final financial report draft and sends it to the PI, PISU and OSP.
   - PISU reviews the report draft and sends to the PI any feedback before approval.
   - PI reviews the report draft and approves it.
   - GAS issues the official final financial report, and submits it to OSP.
   - OSP sends the final financial report to the grant sponsor (along with the final narrative report and other related attachments).

Summary of PISU Workflow Process

	Project Stage	Action	Owner
1)	Upon signature of the award	- Conduct grant Kick-off meeting.	PISU (+PI, grant admin., OSP)
		- Initiate "Grant Approval Queues" document.	PI
2)	One month post award signature	Finalize: - Grant's activities timeline. - Purchasing plan. - Staff hiring plan.	PI (+HR/SCM)
3)	On-going throughout grant duration	- PI and PISU work together on the initiation, implementation and processing of the grant's financial requirements and transactions.	PISU + PI + Partner Departments
		- Update grants' plans (activities timeline, purchasing plan and staff hiring plan).	PI
		- Track financial expenses and commitments vs. budget and prepare interim financial reports.	PISU
		- Prepare periodic official financial reports.	GAS
		- Prepare periodic technical/ narrative reports.	PI
4)	Three months before grant closing	Prepare pre-closing financial status report with recommendation for actions.	PISU
5)	Upon closing of the grant	- Finalize all pending payments.	PI + PISU
		- Issue final official financial report draft.	GAS
		- Review report draft and send feedback to PI.	PISU
		- Approve final official report.	PI
		- Issue final official financial report.	GAS
		- Send final financial and narrative reports to sponsor.	OSP

8- **Functional roles by service area:**

	Area	PI Role **	PISU Role	Related Form
1.	Personnel Compensation:			
a)	AUC Faculty	- Initiate compensation request to PISU by email. - Secure Dean/ Dept. head approval on compensation memo.	- Prepare compensation memo. - Secure Provost approval. - Secure budget availability confirmation from GAS, and submit the memo to faculty affairs for processing.	Compensation memo
b)	AUC Staff (grants funded)	- Prepare project staffing plan upon grant initiation, in collaboration with HR, and update it regularly. - Initiate and manage full-time staff hiring process. - Approve effort reports.	- Follow-up with HR throughout the hiring process to ensure it is in line with plan. - Prepare staff effort reports.	- Staffing plan - Level of Effort report - Hiring supporting docs (HR)
c)	Consultancy Service Agreements	- Initiate the request with HR and PISU. - Secure the needed supporting documents from the service provider.	- Follow-up with HR on contract preparation and approval. - Compile the needed supporting documents and file the final contract. - Process payment preparation post service delivery on SAP.	- Agreement contract - Agreement supporting docs - Level of Effort report - Selection criteria
d)	Research Assistants (RAs)	- Initiate the request to PISU by email. - Approve RAs monthly effort reports.	- Prepare assistantship agreement. - Coordinate with RAs on a monthly basis for level of effort reporting. - Generate monthly General Payment Requests (GPRs) for the stipends.	- Assistantship Agreement - Level of Effort report - GPR form
2.	Travel:	- Initiate the request through the online travel system. - Secure the needed approvals on final plan (Dean/ Dept. head).	- Create funding information on SAP. - Coordinate the request between the PI and GAS office for processing.	On line Travel System
3.	Per Diem:	- Initiate the request: complete the per diem allowance application form and secure line approvals (Dean/ Dept. head). - Settle the per diem upon return: complete the accounting for per diem form and submit it to PISU.	- Review the per diem allowance application form ahead of trip; and accounting for per diem form upon return. - Deliver the per diem documents to GAS to process the advance/ settlement.	- Per diem allowance application form and supporting docs - Accounting for per diem form - Trip boarding passes

4.	Equipment and Procurement Services:	- Prepare project purchasing plan upon grant initiation and update it regularly.
		- Initiate requests to PISU by email.
		- Provide technical specifications, and price quotations when available for regular PRs.
		- In case of direct purchase (less than $2000 and fulfilling DP criteria):
		  a. Secure quotation and purchase details from vendor.
		  b. Coordinate with vendor for ordering and delivery of goods, and invoices.
			- Coordinate the request between PI and SCM throughout the whole process.
			- In case of regular purchase process: Issue Purchase Request (PR) on SAP and send it to SCM for processing.
			- In case of direct purchase (less than $2000 and fulfilling DP criteria):
			  a. Create Direct Purchase Request (DPR) on SAP and send it to GAS for release.
			  b. Create Direct Purchase Order (DPO) on SAP and send it to PI to proceed with vendor.
			  c. Prepare payment on SAP and send it to GAS for processing.
				- Purchase Request on SAP
				- Purchase Order on SAP

5.	Printing and Publishing:	- Initiate the request with AUC print shop. - Provide design and secure related approvals (communication office/ sponsor/ other). - In case of external vendor, proceed with process through the procurement services department.	- Create fund reservation or purchase request, depending on job scope and size (as advised by the print shop/ procurement services). - Prepare payment on SAP and send it to GAS for processing .	- Print shop online system - Purchase Request on SAP
6.	Events Planning (conference/ training):	- Initiate the project with provider and coordinate the agreement process. - If cost is +$2000 secure 3 quotations from different providers, and AUC legal office approval on the final agreement ahead of event, as needed. - After the event, send to PISU invoice, quotations and justification for the selected vendor.	- Prepare payment on SAP and send it to GAS for processing.	NA
7.	Catering:	- Initiate the request with office of University food services. - In case of external vendor, secure quotations and AUC food services approval on selected vendor.	- Create fund reservation on SAP upon quotation approval. - In case of external vendor prepare payment on SAP and send it to GAS for processing.	NA

8.	Cash Advance:	- Initiate the request to PISU by email. - Secure line approvals on the General Payment Request (GPR). - Submit invoices/ docs supporting the cash advance for settlement.	- Prepare General Payment Request (GPR), and create fund reservation on SAP. - Coordinate with GAS for processing. - Prepare advance settlement journal voucher and send it to GAS for processing.	- General Payment Request (GPR) - Journal Voucher
9.	Creating New Vendors:	- Initiate the request to PISU by email. - Secure supporting docs from vendor (ID, citizenship declaration form, bank information, W-9 in case of US citizens).	- Prepare new vendor form. - Process request on SAP and submit it to the controller's office for processing.	- New vendor form on SAP - Vendor supporting docs
10.	Other AUC Internal Services:			
a)	Office Supplies:	- Initiate and manage the request with office of property inventory and warehouse control, copying PISU.	- Create materials order on SAP, and send order details to inventory office for processing, copying the PI.	NA
b)	Facilities Services	- Initiate and manage the request with facilities services. - In case of cost implication, send to PISU for fund reservation.	- Create fund reservation on SAP in case of cost. - Send fund reservation by email to facilities for processing, copying the PI.	NA
c)	Carpool Services	- Initiate and manage the request with carpool services, copying PISU. - Complete the car reservation form and send it to carpool services.	- Create fund reservation on SAP. - Send fund reservation by email to the PI, and carpool services for processing.	Car Reservation form
d)	Mail Services	- Initiate and manage the request with the mail services office, copying PISU. - Complete the mail request form and sent it to mail services.	- Create fund reservation on SAP. - Send fund reservation by email to the PI, and mail services for processing.	Mail Request form
e)	Club car rental	- Initiate and manage the request with the transportation office, copying PISU.	- Create fund reservation on SAP. - Send fund reservation by email to transportation office for processing, copying the PI.	NA
f)	Plants rental	- Initiate and manage the request with Landscape	- Create fund reservation on SAP.	NA

		and ground office, copying PISU.	- Send fund reservation by email to landscape and ground office for processing, copying the PI.	
11.	Budget Roll-over (between fiscal years)	- Review and approve the financial report before roll-over.	- Prepare Financial report at the beginning of the FY to track remaining balances. - Prepare "Budget Change Request" form and send it to GAS for processing.	- Budget change request on SAP

** Or designated grant admin. staff member responsible for the project administration

9- **PISU time duration estimates for service areas:**

- Prepare faculty compensation memo: 2 working days from receipt of request.
- Prepare research assistants' assistantship agreement draft: 1 working day.
- Issue Purchase Request: 5 working days from receipt of request (with technical specifications and price estimate/ budget).
- Payment processing preparation on SAP: 2 working days from receipt of invoice + related supporting docs (ex: quotations, justification for selection, …etc.).
- Fund Reservation: 1 working day (for internal AUC services, ex. printing, catering).
- Initiate new vendor on SAP: 1 working day from receipt of complete information.
- Cash advance general payment request and fund reservation: 1 working day from receipt of request.

Notes:

i.   The above time durations assume the information in the service request is complete and in line with the award agreement conditions.
Upon receipt of any request, PISU validates the information versus the grant award conditions, and gets back to the PI in case of any potential clarification/ need for updates in the request.

ii.   The above timings are for PISU related tasks, aside from other partner departments, which are set by each department and may vary depending on the scope and size of the activity and grant, as per their policy and process. For further information on partner departments' lead-times and policies please refer to attachment 10-B.

10- **Attachments:**

A. PISU workflow steps by service area and type of transaction
B. Links to key partner departments policies and manuals
C. Key related forms

Attachment A

PISU Workflow steps by service area and type of transaction

1. **Personnel Compensation:**

   A. **PI compensation: (Time release/ Cost sharing/ Overload)**
   Service Initiation:
   - PI initiates the request for compensation to PISU by email, based on the agreed grant criteria and budget.
   - PISU prepares the compensation memo, ensuring the amounts and memo details are complying with the grant budget and award agreement.
   - PISU sends the memo to the PI for signature, and approval by the dean/ department head.
   - PI secures the needed line approvals, and sends the approved memo to PISU.
   - PISU sends the memo to GAS for funds availability approval and then to HR Faculty Affairs office for provost approval and payroll processing.

   Payment:
   Faculty affairs process the memo on SAP in HR module for payroll payment.
   - If the final memo is received by faculty affairs *before* mid-month → payment is reflected within the *same month* salary.
   - If the final memo is received by faculty affairs *after* mid-month → payment is reflected with the *following month* salary.

   B. **AUC Staff:**
   Service Initiation (hiring steps):
   - PI develops, with the support of HR, the job description for the staff post and sends it to HR.
   - HR reviews and assesses the job description, amending it as needed, and proposes a title and level to align with AUC structure (if there is a comparable job within AUC); otherwise a job evaluation committee is scheduled.
   - HR sends the amended job description to the PI for approval.
   - HR announces the post on AUC website, the career web and American Chamber of Commerce, free of charge. It is possible to post on other specialized websites, such as LinkedIn …. etc. for an additional charge to be incurred on the grant, if needed, and approved by PI.
   - Upon end of the announcement duration, HR sends the shortlisted CV's to the PI for screening.
   - PI screens the CV's and advises HR on the top candidates eligible for interviews.
   - PI and HR conduct panel interviews for the shortlisted candidates.
   - PI and HR agree on the final potential candidate for the position.
   - HR schedules selected candidate for the English exam which is an appointment requisite for all non-AUC graduates.
   - HR prepares employment requisition form, after candidate passes the English exam, and sends it to PI.
   - PI signs the form, secures the signatures of the dean/ area head and GAS, then sends the signed form to HR.
   - HR prepares the letter of intent document, secures approvals and sends it to the lead candidate.
   - Lead candidate accepts the offer by return email to HR.
   - HR provides lead candidate with the medical check-up forms to be finalized prior to starting employment, otherwise the letter of intent is void.
   - HR and the lead candidate proceed with next steps for hiring requirements, as per AUC and labor law guidelines.
   (*for further details and HR lead times for each step please refer to the HR policy manual, link in attachment 10-B*).

   After Staff Hiring:
   - Staff member pursues the daily job requirements as per the agreed job description, and receives monthly salary in line with AUC policy.

- At the time of financial reports preparation, PISU prepares monthly effort reports covering the actual payroll amounts paid during the reported period for the staff member, and sends them for his/ her signature and PI approval.
- Staff member secures the needed approvals, then sends the final effort reports to GAS to include in the financial report, according to the financial reporting schedule.

C. **Consultancy Service agreements: (ex: consultants, trainers)**
Service Initiation:
- PI initiates the request to HR and PISU by email, at least two weeks prior to the service start date, highlighting the consultancy service details (scope of work, duration, compensation…etc.).
- HR reviews the agreement details, supporting documents and checks the background of the service provider. If all is approved, HR completes the agreement and sends it to the PI along with the initial approval email.
- PI secures the needed approval signatures, then sends a scanned signed agreement to HR.
- HR reviews the signed agreement, secures HR signature, stamps it, and sends to the PI the final approval with the stamped and signed agreement.
- PI sends PISU a copy of the signed agreement.
- PISU requests the necessary supporting documents from the PI/ department to attach to the service agreement.
- PISU files copies of the final signed agreements to generate the payments requests for individuals accordingly.

(For further details on consultancy services agreements HR process and the supporting documents please refer to HR related link https://www.aucegypt.edu/offices/human-resources/services*)*

Payment:
- PI sends to PISU a completed effort report and deliverables report, signed by the consultant and the PI.
- PISU prepares the general payment request (GPR) for the consultant, and attaches the following supporting documents (to be secured from the consultant through the PI upon payment):
  o Biodata information
  o Copy of ID
  o CV
  o Declaration of citizenship form
  o Bank information
  o Consultant Evaluation Sheet/ selection justification
- PISU sends the GPR and supporting documents to GAS for payment processing.

D- **Research Assistants (RAs):**
Service Initiation:
- PI initiates the request for new RAs stipends agreements to PISU by email; highlighting names, compensation rates and duration of service.
- PISU prepares the assistantship agreement form for the RAs stipends, based on the information provided by the PI.

Payment:
- PISU coordinates with RAs to complete and sign the effort reports on a monthly basis.
- PISU generates the monthly payment request (GPR) for the stipends.
- PISU secures PI approval on the GPRs and the effort reports.
- PISU sends the approved GPR, effort report and supporting documents (copy of agreement, and RA CV) to GAS for payment processing.

To note, a contacts' details list for all stipends is developed and updated on-going by the PISU office, to ease communication with the RAs.

2. **Travel requests:**

Trip Initiation:
- PI/ traveler creates a travel request on-line through AUC travel online system (https://www4.aucegypt.edu/TravelRequest/), highlighting details of passenger, route, class, passport details…etc.
- Travel office sends the suggested itinerary/ travel plan through the online system.
- PI/ traveler reviews the itinerary and sends feedback to the travel office, if any, via the online system.
- Travel office resends revised itinerary/ travel plan based on the received feedback.
- PI/ traveler approves the final itinerary/ travel plan.
- PISU creates funding information on SAP (trip #) and sends it to the PI/ traveler.
- PI/ traveler inputs the trip # into the online travel system.
- Travel request is then automatically routed for final approvals to the PI and dean/ department head, then finally to GAS.
- Travel office issues the ticket/ travel booking.

Trip Settlement:
- Upon issuance of the travel tickets/ booking confirmation, the travel invoices are prepared by the travel office and sent directly to GAS for payment processing.

3. **Per Diem Request**:
   Service Initiation (before the trip):
   - PI/ traveler initiates the per diem advance request by completing the "per diem allowance application" form and attaching the supporting documents (copy of passport, travel itinerary, event invitation/ proof of purpose), at least 2 working weeks ahead of the trip, and sends them to PISU by email for review.
   - PISU reviews the completed "per diem allowance application" form and attachments to confirm all information is correct and as per the award conditions.
   - PI/ traveler secures line approval (PI/ Dean/ Department head), then sends the approved form to GAS for processing.

   Per Diem Settlement (after the trip):
   - Upon return from the trip, the PI/ traveler completes the "accounting for per diem" form and attaches the boarding passes within five working days from their return, and sends them to PISU.
   - PISU reviews the form, then submits it to GAS to clear the travel advance.

   To note, per diem payments are only reflected on SAP after settlement. Hence advance allowances are not considered as expenses until submission of the accounting for per diem forms and processing by GAS.

4. **Equipment and Procurement Services:**
   Service Initiation:
   a) **Regular purchase requests (above $2000 and/ or processed through SCM):**
      - PI initiates the request to PISU by email, highlighting details of the equipment or product in demand, technical specifications, IT assessment if needed, budget as per the award summary, and price quotations/ potential sourcing options in case of availability.
      - PISU creates the PR on SAP and sends it to SCM for processing.
      - SCM process the request with potential vendors as per project details and SCM process and guidelines, and issue the purchase order (PO) accordingly.
      - PISU coordinates the communication between the PI and SCM throughout the process.
      (*for further details on SCM policy and process refer to attachment 10-B*)

   b) **Direct Purchase (below $2000 and fulfilling criteria for DP):**
      ➔ Below $500:
         - PI secures quotation from vendor and proceeds with direct ordering (without PR).

      ➔ Between $501 - $2000:

- PI initiates the request to PISU by email, highlighting all related details (request type, specifications, and quotation from vendor).
- PISU creates direct purchase request (DPR) on SAP and sends it to GAS for review and release.
- PISU creates direct purchase order (DPO) on SAP and sends a copy to the PI to proceed with order.
- PI contacts the vendor to proceed with the order, and coordinates product delivery.

(*for further details on direct purchase policy and process refer to attachment 10-B)*

Payment:
a) **Regular Purchase Orders:**
- Upon receiving the requested equipment/ product, PI confirms receipt by approving the goods receipt form.
- Vendors send the invoice to the controller's office for processing.
- The final processed invoice is then sent to GAS for filing.

b) **Direct Purchase:**
- Upon receiving the requested product, PI confirms receipt by approving the goods receipt form, and sends the invoice and any supporting documents to PISU.
- PISU prepares the payment on SAP, and sends it to GAS for processing.

5. **Printing and Publishing Services**:
   Service Initiation:
   - PI initiates the request to AUC print shop by email, copying PISU, highlighting related details (type, dimensions, quantities…etc.) and attaching the approved design to be printed.
   - AUC print shop provides feedback on the request (feasibility, timeline, quotation…etc.).
   - If the print job will be performed internally/ through AUC print shop:
     o PI completes a "printing and copying requisition" form online through AUC print shop online system (https://www4.aucegypt.edu/printshop/).
     o PISU creates either fund reservation on SAP, or purchase request (PR), depending on the size and scope of the job, as advised by the print shop in their feedback on the initial request.
     o AUC print shop proceeds with job printing and delivery.
   - If the print job will be performed through an external vendor:
     o Proceed as per the procurement services process (as outlined in section 4).

   Payment:
   - Upon receipt of the printed materials, PI approves the goods receipt form.
   - If the job is performed internally through AUC print shop:
     o AUC print shop proceed with the invoice processing with the controller's office and GAS.
   - If the job is performed through an external vendor:
     o Proceed as per the procurement services process (as outlined in section 4).

6. **Events planning (conference/ training):**
   Service Initiation:
   - PI initiates the project with the service provider and requests quotation(s).
   - PI coordinates the agreement process with the selected provider.
   - If the total cost is +$2000, PI secures 3 quotations from different service providers ahead of the event, and AUC legal office approval on the final agreement with the service provider, as needed.

   Payment:
   - Vendor sends the invoice to the PI.
   - PI sends to PISU email request for processing the payment, signed original invoice, agreement, event agenda, participants list, copies of quotations and justification for the selected vendor.
   - PISU prepares the payment on SAP, and sends it to GAS for processing.

7. **Catering:**

   Service Initiation:

   a) Internal AUC catering facilities:
      - PI initiates a request for catering by email to the office of university food services.
      - Food services office provides menu options and quotations.
      - PI selects the desired menu option and approves the quotation by return email.
      - PI sends the final approved catering quotation to PISU by email for fund reservation.
      - PISU creates the fund reservation on SAP.

   b) External catering provider:
      - PI initiates the project, and secures 3 quotations from different vendors in case the catering cost exceeds $2000.
      - PI secures AUC catering services approval on the selected vendor, then sends the final agreed quotation to PISU for fund reservation.
      - PISU creates the fund reservation on SAP.

   Payment:

   a) Internal AUC catering facilities:
      AUC food services secure PI approval on the invoice and supporting documents (event's participants list and agenda); and proceed with the invoice processing with the controller's office and GAS.

   b) External catering provider:
      - Vendor sends the invoice to the PI.
      - PI sends to PISU email request for processing the payment, signed original invoice, the event's participants list, agenda, quotations, and AUC food services approval on the selected vendor.
      - PISU prepares the payment on SAP and sends it to GAS for processing.

8. **Cash Advance:**

   Service Initiation:
   - PI initiates the request to PISU by email, highlighting contact details of the advance beneficiary, cash advance amount, purpose…etc.
   - PISU develops a General Payment Request (GPR) with the advance amount and details of the beneficiary/ employee.
   - PISU creates a fund reservation on SAP with the total amount.
   - PI secures line approvals on the GPR (Dean/ department head/ area head).
   - PISU processes the approved GPR with GAS.

   Settlement:
   - PI sends a request by email to PISU to settle the advance, and sends the signed invoices supporting the amount.
   - PISU reviews the invoices, prepares the payment and sends it to GAS for processing.
     - If the total invoice(s) amount matches exactly the advance amount → GAS clears the advance from the employee's account.
     - If the total invoice(s) amount is less than the advance amount →
       - PISU prepares a collection advice form and sends it to the employee.
       - The employee deposits the balance of the advance due at the Commercial International Bank (CIB).
       - The controller's office credits the employee's vendor account and clears it.
     - If the total invoice(s) amount exceeds the advance amount →
       - GAS issues payments/ checks for the amounts spent in excess of the advance after final checking of the expenses reported and supporting documents.

   To note, *i) cash advance is allowed only for AUC employees (faculty and staff), as per AUC policy. Staff members on service agreement and RAs are not allowed to request cash advance in their names.*
   ii) To request cash advance, an AUC employee needs to be a registered vendor on SAP.

9. <u>**Creating new vendors on SAP:**</u>
   - PI initiates the request to PISU by email, highlighting name of the vendor, purpose of creation, and secures the needed supporting documents (vendor ID, citizenship declaration, bank information).
   - PISU completes the new vendor form, and prepares the request on SAP.
   - PISU submits the new vendor form to the controller's office for processing and vendor creation.

10. <u>**Other AUC Internal Services:**</u>
   Service Initiation:
   a) <u>**Office Supplies:**</u>
      - PI initiates the request by email to the office of property inventory and warehouse control (karam_k@aucegypt.edu), copying PISU, highlighting related details (type of supplies, quantities …etc.).
      - Inventory office provides feedback on the request (availability, cost and material numbers).
      - PISU creates materials order on SAP and sends the details to the inventory office for processing, copying the PI.

   b) <u>**AUC Facilities:**</u>
      - PI initiates the request by email to facilities services (facilities@aucegypt.edu) highlighting related details.
      - Facilities services provide feedback on the request to the PI.
      - In case the service will entail cost implication:
        o PI approves the cost by email, and sends request to PISU for fund reservation.
        o PISU creates fund reservation on SAP and sends it by email to the PI and facilities services.

   c) <u>**Carpool:**</u>
      - PI initiates the request by email to carpool services (carpool@aucegypt.edu and ehabhelal@aucegypt.edu), copying PISU, highlighting related details (date, time, destination…etc.).
      - Carpool services provide feedback on the request (cost and availability).
      - PI approves the cost by email.
      - PISU creates fund reservation on SAP and sends it to the PI and carpool services.
      - PI completes and approves a car reservation form, and sends it to carpool services for processing.

   d) <u>**Mail Services:**</u>
      - PI initiates the request by email to mail services (ahebishy@aucegypt.edu) copying PISU, highlighting related details (number of mailed items, destination… etc.).
      - Mail services provide feedback on the request (cost, pick-up and delivery dates).
      - PI approves the cost by email.
      - PISU creates fund reservation on SAP and sends it to the PI and mail services office.
      - PI completes and approves a mail request form, and sends it to mail services for processing.

   e) <u>**Club Car Rental:**</u>
      - PI initiates the request by email to the transportation office (carts@aucegypt.edu and moustafa.aly@aucegypt.edu) copying PISU, highlighting related details (date, time, destination… etc.).
      - Transportation office provides feedback on the request (cost and availability).
      - PI approves the cost by email.
      - PISU creates fund reservation on SAP and sends it by email to the PI and the transportation office.

   f) <u>**Plants purchase and rental:**</u>
      - PI initiates the request by email to the Landscape and Ground office (tawheid@aucegypt.edu) copying PISU, highlighting related details (dates, duration, location… etc.).
      - Landscape and ground office provides feedback on the request (cost and availability).
      - PI approves the cost by email.

- PISU creates fund reservation on SAP and sends it by email to the PI and the landscape and ground office.

Payment:
The designated AUC service office proceeds with payment processing with the controller's office and GAS.

11. **Budget Roll-over (between fiscal years):**
   - PISU prepares financial reports for all grants at the beginning of the fiscal year, to track remaining balances by line item, and sends the report to the PI for review.
   - PI reviews the report and approves it by return mail.
   - PISU prepares "Budget Change Request" forms and sends them to GAS office for processing in order to transfer the grants' funds from the old fiscal year to the new one.

Attachment B

Links to key partner departments policies and manuals

1. **PI Handbook:**
   https://documents.aucegypt.edu/Docs/Principle%20Investigator%20Support%20Unit/PI%20Hanbook%202019%20.pdf

2. **Grants accounting manual:**
   https://documents.aucegypt.edu/Docs/offices_controller/Externally_Funded_Grants_Procedures_Manual_-Sept__2017.pdf

3. **HR operations policy for externally-funded staff:**
   https://documents.aucegypt.edu/Docs/Policies/HR%20Operations%20Policy%20for%20Externally%20Funded%20Staff.pdf

4. **HR policies and procedures manual for support staff:**
   https://www.aucegypt.edu/offices/human-resources/policies-and-procedures-manual-support-staff

5. **Travel policy:**
   https://documents.aucegypt.edu/Docs/Policies/Travel%20Policy.pdf

6. **International Per Diem:**
   https://documents.aucegypt.edu/Docs/Policies/Perdiem%20Rates.pdf

7. **Supply Chain manual:**
   https://documents.aucegypt.edu/Docs/Policies/Procurement%20Services%20Policy.pdf

8. **Direct Purchase Order Policies and Procedures:**
   https://documents.aucegypt.edu/Docs/Policies/DPO%20Policy-2019.pdf

9. **Printing and Copying services policy:**
   https://documents.aucegypt.edu/Docs/Policies/Printing%20and%20Copying%20Services%20Policies%20and%20Procedures.pdf

Attachment C

Key Related Forms

1. **Approvals Queues Form**:
   https://documents.aucegypt.edu/Docs/Principle%20Investigator%20Support%20Unit/Manual%20forms%20-%20Grant%20Approval%20Queues%20-%20Oct2019.docx

2. **Grant Activities Timeline Plan**:
   https://documents.aucegypt.edu/Docs/Principle%20Investigator%20Support%20Unit/Manual%20forms%20-%20Project%20Activities%20Timeline%20-%20Oct2019.xlsx

3. **Grant Staffing Plan**:
   https://documents.aucegypt.edu/Docs/Principle%20Investigator%20Support%20Unit/Manual%20forms%20-%20Staffing%20Plan%20-%20Oct2019.docx

4. **Grant Purchasing Plan**:
   https://documents.aucegypt.edu/Docs/Principle%20Investigator%20Support%20Unit/4.%20Manual%20forms%20-%20Purchasing%20Plan%20-%20Oct2019%20(1).docx

5. **Level of Effort Report:**
   https://documents.aucegypt.edu/docs/offices_controller/Procedures%20Manual%20for%20Externally-Funded%20Grants%20(November%202011)/9.Effort%20Report.doc

6. **Per Diem Allowance Application Form:**
   https://documents.aucegypt.edu/docs/offices_controller/Per%20Diem%20Allowance%20Application.xlsx

7. **Accounting for Per Diem Form**:
   http://adcs.aucegypt.edu/6210perdiemacct.pdf

8. **Declaration of Citizenship Form:**
   https://documents.aucegypt.edu/Docs/offices_HR_forms/DECLARATION%20OF%20CITIZENSHIP(S)_2018.docx