



LEOPOLD CENTER

# Grant Manual

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The Leopold Center for Sustainable Agriculture welcomes suggestions related to this manual. Please direct comments to the address below.  
Approved changes will be posted on the LCSA website.

[www.leopold.iastate.edu/grants/grantees](http://www.leopold.iastate.edu/grants/grantees)

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# 1. Introduction

## 1.1. Overview

This manual is a guide for organizations that are negotiating for or conducting research, education, and demonstration grants awarded by the Leopold Center for Sustainable Agriculture (LCSA) through its competitive grant program or research initiatives.

**Section 1. Introduction** provides information about the LCSA and its relationship to Iowa State University (ISU), Iowa and eligible grantees. It also defines some of the terminology used in the remainder of the manual.

**Section 2. Grant Agreement Policies for Grantees** summarizes policies that may be of particular interest to organizations negotiating their participation in the LCSA grants program.

**Sections 3.–7. Procedures** necessary to apply for, conduct, change, continue and close out LCSA grants.

**Section 8. Appendices** contains sample documents used in the grant award process.

Processes and procedures vary depending on whether the grantee organization is affiliated with ISU. Differences are set off by symbols and subheadings:

“...for Grantees Not at Iowa State University” ◆

“...for Grantees at Iowa State University” ◇

or by bold-faced text: “**ISU grantees**” “**grantees not at ISU**”

## 1.2. The Leopold Center for Sustainable Agriculture

In 1987, the State of Iowa created the Leopold Center for Sustainable Agriculture. The Leopold Center is a research and education center with statewide competitive programs to develop sustainable agricultural practices that are both profitable and conserve natural resources. The founding legislation, commonly referred to as the Groundwater Protection Act of 1987, mandated that the LCSA:

- is located at, and administered by, Iowa State University;
- derives operating funds from an annual assessment on Iowa pesticide registration fees, pesticide dealer license fees, nitrogen-based fertilizer fees, and an annual appropriation from the State Legislature’s Education Committee;
- receives input from an advisory board representing Iowa government agencies, educational institutions and agricultural organizations;
- sponsors and conducts research to identify and reduce negative environmental and socio-economic impacts of agricultural practices;
- researches and assists in developing emerging alternative practices that are consistent with a sustainable agriculture;
- conducts a competitive grant program for Iowa colleges and universities and private nonprofit agencies and foundations; and
- develops in association with the Iowa cooperative extension service in agriculture and home economics an educational framework to inform the agricultural community and the general public of its findings.

LCSA staff members are employees of ISU. The director of the LCSA is appointed by the President of the University and reports to the Dean of the College of Agriculture.

Staff in the ISU Office of Sponsored Programs Administration and Sponsored Programs Accounting areas work with the LCSA to assure that the grant program is in compliance with relevant federal, state, Board of Regents and ISU regulations (see **Section 2. Grant Agreement Policies for Grantees**).

The work of the LCSA is accomplished through four initiatives: ecology, marketing and food systems, cross-cutting, and policy.

### 1.3. Grant Terminology

**Allowed Costs** – expenses identified in the budget which have been approved by the LCSA program leader. This approval can be for the original budget, a rebudget, or a reallocation.

**Amendment to the Grant Agreement** – a document used to make major changes in the original grant agreement.

**Audit disallowances** – expenses which are determined by ISU to be in non-compliance with the terms of the Grant Agreement and budget. These amounts will have to be repaid by the grantee within 30 days of notice of disallowance.

**Award Letter** – a letter written by the LCSA program leader to the grantee notifying them that the full proposal will be funded. The letter includes, but is not limited to, the start and end dates of the grant, the amount of the award, reporting dates, and information on other items.

**Consulting agreement** – an agreement used to hire an individual, acting independently of his/her organization.

**Deliverables** – required reports and other products of the project as stipulated in the Grant Agreement.

**Electing title to intellectual property** – the process by which non-ISU grantees can retain title to intellectual property developed as a result of work performed during the term of the grant.

**Full Proposal** – the working document that describes, guides and monitors the progress of the grant during the current period. This document is then used as a basis for preparing legal documents (e.g., grant agreements, subcontracts, etc.).

**Grant** – Funds awarded to Iowa educational institutions and nonprofit organizations on behalf of the Principal Investigator to conduct the Full Proposal.

**Grant Agreement** – the legally binding written document containing the terms and conditions of a grant.

**Grant Period** – a time period specified in the Grant Agreement which covers the term of the grant. LCSA grant periods can be more than 12 months, but funding is generally for one year at a time.

**Grantee** – the organization/ISU individual receiving the award.

**Initiatives** – one of the four areas through which the work of the LCSA is accomplished. The areas are ecology, marketing and food systems, cross-cutting, and policy.

**Intellectual property** – products of a grant with potential for commercialization (e.g., patents, copyrights, trademarks, and trade secrets, etc.).

**Negotiation stage** – the period of time during which the potential grantee and the LCSA program leader discuss in detail any unusual items relating to the full proposal being prepared (e.g., equipment purchases, intellectual property terms, etc.)

**Pre-proposal** – a concept paper requesting a LCSA grant submitted in response to an RFP.

**Principal Investigator (PI)** – the individual at the grantee organization responsible for the oversight, work and deliverables of the project. Grantee responsibilities described in this manual and the Grant Agreement usually accrue to the PI.

**Program leader** – the contact person at the LCSA for assistance, questions, and monitoring progress of a grant proposal while the grantee is receiving LCSA funds.

**Reallocation** – the process of moving existing funds from one budget category to another. Prior approval is required for reallocation changes if they are more than 10 percent of the total amount of the original grant or meet any of the five mandatory changes listed on the reallocation form.

**Rebudgeting** – interchangeable with the word Reallocation.

**Renewal or multiple-year grants** – those that extend the grant on an annual basis and award more funds through submission and approval of a progress report and renewal request (PRRR). These are contingent on the overall project plan and the progress to date.

**RFP or Request for Pre-proposals** – the LCSA document that starts the application process for the LCSA competitive grants program.

**Subagreement** – the document used when a grantee intends to pay part of the LCSA grant to another non-ISU partner or organization whose participation is critical to the intent or success of a project. See **5.2. Subagreement Policies** for more information on who may receive subagreements.

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## 2. Grant Agreement Policies for Grantees

Grantees should review these policies during the “negotiation stage of the grant award process” and discuss any exceptions desired with the LCSA. To meet audit requirements, exceptions must be included in the original Grant Agreement or may be negotiated later as an Amendment to the Grant Agreement.

These policies, as well as others in this manual, apply to the Grant Agreement. Expanded and more formal versions of these policies may appear in the Grant Agreement itself. ISU and non-ISU sample Grant Agreements are found in the Appendices of this manual.

Subagreement Policies are discussed in **Section 5.2.a**.

### 2.1. Grantee Qualifications

The legislation that created the LCSA stipulates that competitive grants are to be awarded “through a competitive grant program (to) Iowa colleges and universities and private nonprofit agencies and foundations.” Organizations not eligible to be grantees may participate in LCSA grants through subagreements with LCSA grantees or directly with the LCSA when grant monies from external federal or foundation grants received by the LCSA allow for such arrangements.

### 2.2. Principal Investigators

The LCSA requires that **one individual** be designated as Principal Investigator (PI) for each grant. Official correspondence, communications, and reports must come to the LCSA from the PI unless permission is granted otherwise by the LCSA program leader.

### 2.3. Funding Periods for Grants

The LCSA typically funds grants for up to twelve months at a time. Requests for additional years of funding must be clearly stated in the original grant request. Funding for subsequent periods of time is contingent upon satisfactory progress, the proposed project continuation tasks and the LCSA program’s priorities and budgets. For more on multi-year grants, see Section **6. Renewal or Multiple-Year Grants**.

### 2.4. Early Termination of Grants

Every effort will be made by the LCSA to work with the grantee to substantially satisfy its obligations under the grant agreement. However, if the grantee does not comply, the LCSA has the right to terminate the Grant Agreement. The grantee will receive a written 30-day notice of such termination.

A grantee may, for cause, also give a 30-day notice of termination to the LCSA.

If, at any time, funding to the LCSA is terminated by the State of Iowa or other funding entity, LCSA grants will be terminated upon receipt by the grantee of written notice to that effect from ISU. Grantee shall be compensated for all actual and allowable expenses and all uncancelable obligations properly incurred prior to the date of termination. All other unexpended funds shall be returned to the LCSA within 30 days of termination notice.

## 2.5. Methods of Payment

All Grant Agreements are cost-reimbursable.

**Grantees not at ISU** receive payments by submitting invoices not more often than monthly to:

Iowa State University  
Sponsored Programs Accounting  
3609 Administrative Services Building  
2221 Wanda Daley Drive  
Ames, Iowa 50011-1004

**ISU grantees** charge expenditures against grant accounts established through ISU Sponsored Programs Accounting.

See **Section 4.4. Payments to Grantees** and **Section 7.1. Expenditures, Invoices and Payments** for additional information.

## 2.6. Allowed Costs

The allowance of costs chargeable to LCSA grants is determined by the legislation that created the LCSA, ISU regulations and applicable federal regulations in OMB Circulars (A-21 and A-110) shown at [https://whitehouse.gov/omb/circulars\\_default](https://whitehouse.gov/omb/circulars_default). Grantee organization policies governing salaries, wages, fringe benefits and other categories of costs may be relied upon if they are not in conflict with LCSA policies or federal regulations.

*The grantee shall reimburse the LCSA for any paid expenses subsequently determined to be non-allowable costs. Reimbursement shall be made within 30 days of notice of audit disallowance.*

### 2.6.a. Equipment and Supplies

- **Greater than \$5,000**

The definition of equipment is any item having an acquisition value of \$5,000 or more, and having a useful life of one or more years. The LCSA typically does not fund equipment purchases. However, during the “negotiation stage,” the LCSA will consider funding the cost of leasing equipment or capital improvements required for the research project. The LCSA typically uses a formula that pays for the use/ownership of the equipment only for the duration of the LCSA-funded work.

Changes to the equipment budget that was agreed upon at the time the grant is awarded must be approved by the LCSA (see **Section 4.5. Reallocation of Grant Funds** and **Section 4.7. Amendments to the Grant Agreement**).

Grantees must maintain inventory and maintenance records for equipment purchases from LCSA grant funds. Normally, the LCSA grants title of equipment to the grantee.

- **Supplies**

Items not meeting equipment criteria are budgeted as supplies. A computer system is considered supplies, but must be listed separately in the budget. Upgrades, maintenance items and additional peripherals (modems, printers, CD-ROM drives, etc.) are considered to be part of the original system and must be included in the budget. Computer software is usually a supply item unless it is an operating system or other software ordered as part of the original computer system.

Supplies fall into three categories: ag and vet supplies (e.g., fertilizers, animals, seeds, fencing, etc.), lab and research supplies (e.g., chemicals, lab containers, drugs, food used in research, analysis kits, etc.), and other supplies - any supplies that do not fall into one of the other two categories (e.g., refreshments and catering [from ISU Dining only] excluding alcohol, office supplies, stationery, etc.).

Modifications to the supplies line to purchase computers or related peripherals not originally approved must be approved by the LCSA. (See **Section 4.5. Reallocation of Grant Funds** and **Section 4.7. Amendments to the Grant Agreement**).

Normally, the LCSA grants title of computer and related peripherals to the grantee.

#### **2.6.b. Indirect Costs and Overhead**

The LCSA does not pay indirect costs or “overhead” on grants, subcontracts or subagreements. Fringe benefit payments are allowed and must be shown as a separate line item in the ISU grant budget.

#### **2.6.c. Travel and Meals**

Travel and meals are allowed on LCSA grants.

The grantee organization may pay its own mileage and meal reimbursement rates if less than ISU rates.

The following ISU limits on meals and mileage reimbursements apply:

- mileage: \$.27/mile over 100 miles (Ames departure only), IRS rate/mile under 100 miles (once approved by the Board of Regents), (ISU vehicles should be used when possible)
- daily maximum, in-state meals: \$31.00
- daily maximum, out-of-state meals: \$40.00

Travelers have an obligation to plan their travel in a cost-efficient manner. However, due to the variability in hotel costs in different locations, the LCSA has not set maximum allowable lodging charges. When travelers do have a choice of hotels, they may be called upon to justify apparently excessive hotel charges.

Approval for changes in domestic or foreign travel and additional domestic or foreign travel not approved at the time of the grant award must be requested in writing and approved by the LCSA prior to the travel occurring. Examples might be an additional person attending a conference already approved or an extra trip planned (see **Section 4.5. Reallocation of Grant Funds** and **Section 4.7. Amendments to the Grant Agreement**).

## **2.7. Intellectual Property**

Intellectual property refers to products of a grant that have the potential for being protected through a patent or a copyright. Examples of intellectual property include patents, copyrights, trademarks and trade secrets. Additional information regarding intellectual property can be found on the website of the Office of Intellectual Property and Technology Transfer ([www.techtransfer.iastate.edu/en/for\\_iowa\\_state/educational\\_resources](http://www.techtransfer.iastate.edu/en/for_iowa_state/educational_resources)).

The grantee shall inform the LCSA program leader of all intellectual property generated under this agreement. Subject to the conditions outlined below, all property rights, titles, and interests in intellectual property generated under this grant shall belong to the grantee.

- a. **ISU grantees** – Ownership of intellectual property generated by ISU grantees shall be determined according to policies established by the Office of Intellectual Property and Technology Transfer at Iowa State University.
- b. **Grantees not at ISU** shall have one (1) year from the date of grant termination to elect title to intellectual property generated under the grant agreement. Election of title shall be made in writing to the Director of the Office of Intellectual Property and Technology Transfer at ISU. If the grantee fails to elect title within one year, title to all intellectual property generated under the grant agreement shall be assigned to ISU. Grantees that elect to retain title to intellectual property shall have one (1) year from the date of election to file for statutory protection or, in the case of copyrightable subject matter, registration. If the grantee fails to register or file for statutory protection within one year of electing to retain title, ownership of all intellectual property generated under this agreement shall be assigned to ISU.

If grantee (1) does not elect to retain title, or as provided above (2) fails to elect to retain title or (3) fails to file for statutory protection or registration, grantee will assign ownership of intellectual property to ISU. Grantee rights in intellectual property assigned to the LCSA shall be governed by the policies established by the Office of Intellectual Property and Technology Transfer at Iowa State University. When ownership of intellectual property rights is assigned to ISU, the inventor/creator(s) shall sign all necessary papers required for intellectual property protection including, but not limited to, assignments, disclosures, filings, and royalty distributions and shall provide to ISU copies of all enabling data, drawings, materials and methods, software code, and prepared, submitted or published manuscripts that describe the intellectual property.

If grantee retains title to and files for protection of intellectual property generated under this agreement, ISU and the LCSA shall have a royalty-free license to use the intellectual property for non-commercial research and educational purposes.

## 2.8. Publications

The grantee is encouraged to publish, present or otherwise release in the public domain findings made under the LCSA grant. Grantees are asked to send one copy of each published document to the LCSA. The following acknowledgment should be used in all documents submitted for publication or presentation:

“This work was funded in whole or in part by the Leopold Center for Sustainable Agriculture. Established by the 1987 Iowa Groundwater Protection Act, the Leopold Center supports the development of profitable farming systems that conserve natural resources.”

Use of the LCSA logo is acceptable if space does not allow for the above statement.

## 2.9. Affirmative Action

LCSA grantees are subject to ISU, state and federal policies regarding affirmative action and nondiscrimination in employment matters.

During the performance of this agreement, the grantee agrees as follows:

1. Grantee will not discriminate against any employee or applicant for employment because of race, color, religion, sex or natural origin.
2. Grantee will comply with all provisions of Executive Order No. 11246, dated Sept. 24, 1965, as amended and of the rules, regulations and relevant orders of the Secretary of Labor.

3. In the event of grantee noncompliance with the Equal Opportunity Clause, this grant may be cancelled, terminated, or suspended in whole or in part, as deemed appropriate by ISU.

Questions about personnel practices on grants may be addressed to the LCSA.

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## 3. Grant Award Process

### 3.1. Request For Pre-proposals (RFP)

#### 3.1.a. Overview

The Request For Pre-proposals (RFP) is the first step in applying for a competitive grant from the LCSA. Investigators representing any Iowa nonprofit organization/ agency and/or educational institution (such as Soil and Water Conservation Districts; schools, colleges and universities; and regional development groups) can apply to the competitive grants program. Project collaborations with other organizations or businesses are encouraged, as well as is evidence of project support.

Pre-proposals must be submitted in a specific format according to the instructions sent with the RFP. Pre-proposals are to be directed toward one of the four LCSA initiatives: ecology, marketing and food systems, cross-cutting, or policy. The LCSA also is receptive to a limited number of special project proposals of a unique or innovative nature which may not fit within the parameters of one of the four initiatives. Investigators should contact one of the initiative program leaders or the LCSA director for an opportunity to discuss this type of project idea. Pre-proposal requests for funding can be for one or multiple years.

#### 3.1.b. What Goes Into a Pre-proposal

Pre-proposals should include a one- or two-page concept paper containing, but not necessarily limited to, the following:

- Separate cover page with project title, contact information for the principal investigator, dollar request by year, and an indication of the initiative area – ecology, marketing and food systems, cross-cutting, or policy – that best fits the pre-proposal. The cover page does not count as part of the page total.
- Objectives (what one wants to achieve: this must be clearly defined and measurable)
- Strategies (activities that will help achieve the project objectives)
- Explanation of how the concept fits within areas of interest for one of the initiatives or how it advances the overall mission of the LCSA
- Outcomes (narrative of what will happen in the short and intermediate term if the project objectives are achieved)
- Evaluation statement (brief statement of how one determines that the objectives have been achieved)
- Budget estimates and brief financial explanation (justification) by calendar year
  - Estimation of total expenses and itemized by: Salary and benefits, total of equipment/supplies/materials, travel, subcontracts/consultants, and other
  - Selection of the best description of the project's budget if this changes per year of the request.
    - LCSA will provide all funding.
    - LCSA funds are a start, but work is contingent on other funds to meet all desired outcomes.
    - LCSA funds are filling a gap in ongoing work sponsored by other funding.
    - LCSA funds will support completing part of the work even if funds from other sources are not received.

### 3.1.c. How Pre-proposals are Processed

All pre-proposals are reviewed and rated on merit by LCSA staff and Advisory Board members. They are evaluated for relevance to the LCSA mission and initiative priorities on the basis of technical merit, probability of success, project costs, and estimated availability of funding.

Applicants whose pre-proposals are selected for further development will receive an invitation in writing to submit a full proposal. Applicants whose pre-proposals are not selected are notified by the LCSA. The LCSA does not retain pre-proposals for consideration in future rounds of funding. Grantees must reapply to future RFPs to be considered.

## 3.2. Full Proposals

The full proposal is the working document that describes, guides and monitors the progress of the grant during the current period. All competitive grants that are funded result from full proposals. The full proposal must include all of the following: cover page, scope of work, background, objectives, strategies, partners, evaluation, project timeline, budget, explanation (justification) of budget, principal investigator information, and letters of support/ commitment. Full proposals are sent out for peer review. A grant is not awarded until the full proposal is accepted and approved by the LCSA program leader. A copy of the full proposal will be included as Exhibit A in the official Grant Agreement.

The following guidelines are included in, but not necessarily limited to, information sent to grantees for them to develop their full proposal.

### 3.2.a. Cover Page

A separate cover page should be provided that includes: date submitted, proposal title, proposal number (as it appears in the pre-proposal response letter), amount requested from the LCSA (per year and in total), and complete contact information for the principal investigator (address, phone, fax, e-mail). Where there are multiple investigators on a project, one individual must be designated as the principal investigator. The principal investigator's contact information must be listed on the cover page. The cover page is not counted in the total pages for the proposal.

### 3.2.b. Scope of Work

The Scope of Work is a one-page document that briefly describes the LCSA-funded portion of the work. It contains the following elements:

- **Background information** that frames the overall **purpose** of the work, its **significance**, and **partners**.
- **LCSA-funded objectives** of the project.
- **Strategies** that will be used to achieve each of the LCSA-funded objectives.
- **Responsibilities** of personnel, other collaborators and partners in carrying out the work.

### 3.2.c. Proposal Narrative

Program leaders will provide specific guidelines for the full proposal; however, all proposals will include the following components:

- Background
- Objectives
- Strategies

- Partners
- Timeline
  - The full proposal should include a chronological timeline of major project activities.
- Budget
  - The final grant budget will be approved by the LCSA program leader. Templates are provided. See examples in the **Appendices**.
- Budget Justification (Narrative)
  - Every budget must contain a written explanation of what the money is actually going to be spent on, using descriptive terms rather than just dollar amounts. This explanation must show how the dollar amounts are derived (e.g., x hours @ \$/hour, 7 trips of 80 miles each x \$.405/mile, etc.).
- Evidence of project support when project involves collaborations with other organizations or businesses.

#### **3.2.d. Reports and Deliverables**

The Grant Agreement will specify the required technical and financial reports and the quantities and due dates for each. Any special deliverables will also be specified in the Grant Agreement.

### **3.3. Awarding the Grant**

#### **3.3.a. Award Letter**

Once the LCSA approves a full proposal for funding, the LCSA program leader issues an award letter to the grantee stating that the proposal will be funded. The letter includes, but is not limited to, the start and end dates of the grant, the amount of the award, reporting dates, and information on other items.

#### **3.3.b. Grant Agreement**

After the award letter has been issued by the LCSA program leader, a Grant Agreement must be constructed. The Grant Agreement is the legally binding document that puts the paperwork in place for the grant to be funded. The Grant Agreement states the terms and conditions for the entire grant period and includes a copy of the full proposal. Sample Grant Agreements for both **ISU grantees** and **grantees not at ISU** appear in the **Appendices** of this manual.

#### **3.3.c. Grant Agreement Process for Grantees Not at Iowa State University**

- ◆ If the LCSA decides to fund a proposal, the PI will receive an award letter from their specific initiative leader at the LCSA. At that point the LCSA administrative specialist will send out a grant agreement for the PI to review and sign.
- ◆ Along with the grant agreement, the PI will receive a questionnaire to fill out. (This document will be used for administrative purposes only.)
- ◆ The LSCA administrative specialist will work with the Office of Sponsored Programs Administration (OSPA) and the Sponsored Programs Accounting (SPA) office to complete the remaining steps of the grant process.

#### **3.3.d. Grant Agreement Process for Grantees at Iowa State University**

- ◇ If the LCSA decides to fund a proposal, the PI will receive an award letter for their specific initiative leader at LCSA. At that point, the LCSA

administrative specialist will send out a grant agreement for the PI to review and sign.

- ◇ To complete the award process, the PI must prepare and route an ISU GoldSheet. Please do not start the GoldSheet until the signed grant agreement has been returned by the LSCA administrative specialist.
- ◇ The GoldSheet Form can be found at:  
<https://grant001.ats.iastate.edu/jsp/login.jsp>.  
A user manual for the GoldSheet may be found at:  
<http://www.ospa.iastate.edu/proposal/faq>.
- ◇ If you have never been a PI before, you need to register with the Office of Sponsored Programs Administration (OSPA) in order to log-in to the GoldSheet. If any technical difficulties occur when submitting the GoldSheet, please contact OSPA.

### GoldSheet Page 1:

Complete normally, using this information in the following fields:

- ◇ Sponsor Name: *Leopold Center*
- ◇ Sponsor Address: *Fields can be left blank*
- ◇ Prime Contractor: Select "*Iowa Department of Natural Resources*"
- ◇ Sponsor-Type: Select "*Internal Grant Program*"
- ◇ Submission Method: Select "*PI Sends*"
- ◇ Program Guidelines are Attached: Select "*Yes*"
  - For pre-proposals or competitive grants, attach a copy of the Request For Proposal (RFP), which may be downloaded at: [www.leopold.iastate.edu/grants/rfp](http://www.leopold.iastate.edu/grants/rfp)
  - Lead Department: *List PI's department*
  - Lead Unit: *List PI's college*
  - For special projects, application guidelines can be found at: [www.leopold.iastate.edu/files/spec.project.pdf](http://www.leopold.iastate.edu/files/spec.project.pdf)
    - Title of Proposal: Type exactly as it is shown on the Grant Agreement including alpha numeric title. For example: "XP2016-03: The effects of sunlight on green beans."
    - Indirect Cost Rate: Select "*Other*" – Specify Rate, type "*0%*" (no documentation required)
    - Are Federal Flow Through Funds Involved? Select "*No*"
    - Note: If it is a multi-year grant, please include the total amount for all years under direct costs and add a note on page 4 explaining Year 1 costs will be \$25,000 of the \$75,000 total.

### GoldSheet Page 2:

- ◇ Investigator Information – IDC Distribution: Be sure to type 15% for lead PI even though IDC is not included. Allocate the percent contribution as needed. The percent contribution must equal 100%.

### GoldSheet Page 3:

- ◇ Route the GoldSheet to the appropriate department(s) and RRC(s) based on the PI and any Co-PI(s).
- ◇ **IMPORTANT:** When routing the GoldSheet, include the Leopold Center in the department level routing.
- ◇ Complete GoldSheet Page 4 (if necessary) and attach documents before signing/submitting.

**GoldSheet Page 4:**

- ◇ Add any notes to OSPA; complete any info for sub-awards, etc.
  
- ◇ **IMPORTANT:** Electronically attach all of the following documents to the GoldSheet:
  - Award letter
  - Signed Grant Agreement with the final full proposal and budget (should be attached to Grant Agreement, if not please attach separately).
  - Detailed budget using the One-Page Budget Form from the OSPA website, found at <http://www.ospa.iastate.edu/forms/#budget>
  - Leopold Center for Sustainable Agriculture RFP , OR if you are a non-RFP grant, attach the special project guidelines.
  
- ◇ **IMPORTANT:** Please title each document with the alpha numeric part of your grant. For example: XP2016-03 Award Letter.

**3.3.e. ISU Child Account Budget Form**

Sometimes a project may have more than one Budget. The PI may submit two or more ISU Child Account Budget forms dividing funds among two or more investigators' accounts if in accordance with the full proposal budget. In this case, the LCSA still considers the project to be a single grant.

**3.3.f. Subagreements**

See **Section 5.2. Subagreements** for information on processing subagreements.

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## 4. Grant Administration Procedures

### 4.1. Working with the LCSA Staff

#### 4.1.a. Program Leader

The LCSA staff member who serves as program leader for a grant:

- monitors technical progress and approves changes in the full proposal,
- receives technical reports and deliverables,
- discusses and approves the grant's potential for continuation, and
- maintains records on program-related reports and deliverables, as well as significant concerns or other issues related to the project.

#### 4.1.b. Administrative Specialist

The administrative specialist:

- provides direction regarding grant administration procedures,
- works with the program leader to monitor financial activities and reports,
- processes grant-related materials and paperwork including grant agreements, amendments and invoices, and
- maintains records on financial reports.

#### 4.1.c. Editor and Communications Specialist

The editor and communications specialist both work with the LCSA program leader and the grantee to help ensure that project outcomes are communicated successfully to appropriate audiences through various media.

### 4.2. Progress Reports

#### 4.2.a. Overview

The Principal Investigator is responsible for providing annual progress reports as part of the renewal request on multi-year awards. Only the final report is required if the award period is one year or less. If the award period is greater than one year but less than 18 months, the decision to require an annual progress report is left up to the LCSA program leader. Renewal of funding of multi-year projects is based on demonstration of satisfactory progress, including submission of annual progress reports. Multi-year projects must be clearly stated as such in the original proposal.

See **Section 6. Renewal or Multiple-Year Grants** for information on **progress** reports and **Section 7. Closeout Procedures for Grants** for information on **final** reports.

#### 4.2.b. Budget Reports

Budget information and reports must be included as part of the Renewal Grant process (see **Section 6. Renewal or Multiple-Year Grants**) and also are required in the final report (see **Section 7. Closeout Procedures**).

Budget report forms may be obtained from the LCSA, duplicated from the form provided in the **Appendices**, or downloaded from the LCSA website:

[www.leopold.iastate.edu/grants/grantees](http://www.leopold.iastate.edu/grants/grantees)

### 4.3. Payments to Grantees

Payments to subagreement organizations are discussed in **Section 5. Collaborations on Grants**.

#### 4.3.a. Payments to Grantees Not at Iowa State University

When the grant award is made, ISU issues a purchase order to the grantee's organization. Invoices submitted for payment must reference the purchase order number.

A **preprinted invoice form** will be sent with the Grant Agreement (Exhibit B). This should be duplicated for future use. An invoice form also may be obtained from the LCSA, duplicated from the form contained in the **Appendices**, or downloaded from the LCSA web site. Please submit one copy of each invoice, no more often than monthly, to:

Iowa State University  
Sponsored Programs Accounting  
3609 Administrative Services Building  
2221 Wanda Daley Drive  
Ames, Iowa 50011-1004

ISU Sponsored Programs Accounting reviews the invoice and prepares an ISU voucher. The LCSA administrative specialist then reviews the invoice and signs the voucher prior to submitting the voucher to the LCSA program leader to approve payment. ISU mails the payment to the grantee. Unless there are delinquent reports or problems with the invoice, payments typically will be mailed to grantees within 30 days of the date the invoice is received at the above address.

The Leopold Center reserves the right to withhold the remaining balance amount of the grant on the final payment request until the final report is received.

#### 4.3.b. Payments to Grantees at Iowa State University

ISU grantees charge expenditures against ISU grant accounts in accordance with ISU policies. The LCSA reserves the right to request copies of any expenditures deemed necessary.

### 4.4. Prior Approval for Expenditures

The LCSA reserves the right to review and approve purchase orders or associated paperwork related to expenditures of LCSA grant funds.

Reallocation of funds may require prior approval; see **Section 4.5. Reallocation of Grant Funds**.

### 4.5. Reallocation of Grant Funds

Reallocation occurs when a budget change is made that shifts budgeted funds but **does not require the awarding of additional funds**. Grantees may make budget reallocations up to 10 percent of LCSA funds among budget categories without LCSA prior approval, except in the case of the five items below or in violation of any other terms and conditions of the LCSA. However, grantees are encouraged to notify LCSA's administrative specialist when significant changes are made.

Prior written approval from the LCSA and ISU **is required** whenever the grantee wishes to:

- ⇒ Add a travel budget when no travel budget currently exists,
- ⇒ Increase budgeted travel funds for additional travel not already approved by the LCSA,
- ⇒ Increase or decrease planned equipment expenditures,
- ⇒ Increase or decrease the amount of **approved** subagreements or consulting agreements,  
or
- ⇒ Initiate unbudgeted expenditures requiring purchase orders of \$1,000 or more.

Grantees must discuss reallocation requests with the LCSA program leader well in advance of when the expenditure of reallocated funds would occur. **Retroactive approval of reallocations is at the sole discretion of the LCSA.**

The LCSA may make the judgment that a reallocation is significant enough to require an amendment (see **Section 4.7. Amendments to the Grant Agreement**).

The **procedure to request approval** for a reallocation follows:

- The PI submits a Request for Reallocation of Funds form (see **Appendices**) to the LCSA program leader, either by letter or e-mail, after it is signed by the PI and the Department Chair.
- The LCSA program leader signs and approves the form, the LCSA administrative specialist forwards it to Sponsored Programs Accounting, keeping a copy on file.
- The LCSA sends the PI a fully-signed copy. This constitutes approval.

#### **4.6. Changing the Total of Grant Funds**

An Amendment to the Grant Agreement is needed when a budget change is made that **requires the awarding of additional funds or a returning of already awarded funds** (see **Section 4.7. Amendments to the Grant Agreement**). This process is not required when a grant is completed and there are excess funds which need to be returned.

#### **4.7. Amendments to the Grant Agreement**

Major changes in the original Grant Agreement are made through an Amendment to the Grant Agreement. The PI should always discuss the proposed change with the LCSA program leader before initiating the formal procedure to request an Amendment.

The following **always** require Amendments:

- ⇒ changes in key personnel (including subagreement organizations and consultants),
- ⇒ additional funds to be awarded by the LCSA,
- ⇒ modifications to the grant period length, or
- ⇒ significant modifications to the statement of work.

The LCSA program leader and administrative specialist will determine whether other changes require an Amendment.

##### **4.7.a. Implementing an Amendment to the Grant Agreement for Grantees Not at Iowa State University**

- ◆ After verbal agreement, the PI submits a written request to the LCSA program leader, stating and justifying the modification(s) requested. This can be done either by letter or e-mail.

- ◆ The program leader notifies the PI of approval or non-approval through an e-mail with a copy to the LCSA administrative specialist.
- ◆ The LCSA staff generates an Amendment and attaches it to the PI's written request.
- ◆ The LCSA staff forwards the e-mail approving the changes to OSPA with the Amendment draft as an attachment.
- ◆ OSPA prepares the Amendment on its letterhead, signs the original, scans it into the computer, and e-mails it to the PI for signature.
- ◆ The PI secures all required grantee signatures on the copy of the Amendment, keeps a copy and returns the Amendment to OSPA.
- ◆ OSPA sends one fully-signed copy to Sponsored Programs Accounting and an e-mail with a scanned copy of the fully-signed Amendment to the LCSA. If additional funds are being granted, SPA will modify the grant's Purchase Order.
- ◆ The LCSA staff files a copy of the Amendment in the grant file.

**4.7.b. Implementing an Amendment to the Grant Agreement  
for Grantees at Iowa State University**

- ◇ After verbal agreement, the PI submits a written request to the LCSA program leader, stating and justifying the modification(s) requested. This can be done either by letter or e-mail.
- ◇ The program leader notifies the PI of approval or non-approval through an e-mail with a copy to the LCSA administrative specialist.
- ◇ The LCSA staff generates an Amendment and attaches it to the PI's written request.
- ◇ The LCSA staff sends to the PI a printed copy of the Amendment, on letterhead and signed by the LSCA director.
- ◇ The PI signs the copy and secures the required signature of the appropriate Department Head.
- ◇ If additional funds are being granted by the Amendment, the PI also prepares a revised Budget, signs it and secures the required signatures of the Department Head and appropriate Dean or Director.
- ◇ The PI makes one copy for his/her files and sends the original Amendment to the LCSA.
- ◇ The LCSA staff reviews the revised Budget and the administrative specialist forwards one copy of the Amendment and the revised Budget to OSPA.
- ◇ OSPA forwards one copy of the fully-signed Amendment to Sponsored Programs Accounting.
- ◇ If a revised Budget exists, OSPA signs and forwards it to Sponsored Programs Accounting for transfer of additional funds to the grant account.
- ◇ The LCSA staff places one copy of the Amendment in the grant file.

## 5. Collaboration: Consulting Agreements and Subagreements

LCSA grant funds may be used by the grantee for work to be performed by (1) individuals not in the grantee organization or (2) other organizations. When you plan to engage consultants or to subcontract parts of your work, LCSA must approve the consultant(s) and/or subcontractor(s) prior to issuance of any such agreement. The approval is usually made at the time the grant is awarded (i.e., through approval of the budget). It also may be made later through an Amendment to the Grant Agreement (see **Section 4.7. Amendments to the Grant Agreement**).

If the PI on the original LCSA grant does not work for ISU, but plans to subcontract a portion of the project to an ISU organization or an ISU faculty/staff member, it is necessary for the LCSA to structure the award so portions go directly to each organization. Depending on the circumstances, it may be necessary to process the award as two separate proposals. The LCSA will use the same project number and proposal, but add an "A" or "B" to the project number. This is done because ISU cannot legally award funds to non-ISU organizations which then contract those funds back to ISU. It also can cause difficulty in providing cost-share evidence since the accounting documentation for the non-ISU organization won't show the entire dollar amount of the award.

### 5.1. Consulting Agreements

A **consulting agreement** is used to hire an individual, acting independently of his/her organization. **The agreement is with the individual, not an organization.**

The consulting agreement should include a scope of work, schedule and budget. The budget should list payments for honorarium, travel and other relevant expenses. Method of payment (cost reimbursable or fixed fee) should be established.

**All terms and conditions of the prime agreement (i.e., this grant agreement) must flow down to the consulting agreement, unless specifically stated otherwise. This includes compliance with ISU's Conflict of Interest Policy.**

**The LCSA reserves the right to approve the consulting agreement document prior to actual hiring of the consultant and/or request a copy of such agreement for LCSA files.**

Changes in grant consulting (e.g., adding a consultant or increasing the amount paid) require a reallocation (see **Section 4.5. Reallocation of Grant Funds**) and an Amendment (see **Section 4.7. Amendments to the Grant Agreement**).

### 5.2. Subagreements

A **subagreement** is used to hire an organization.

#### 5.2.a. Subagreement Policies

The grantee should develop a subagreement that does not conflict with the Grant Agreement for the main grant. **All terms and conditions of the prime agreement (i.e., this grant agreement) must flow down to the subagreement, unless specifically stated otherwise. This includes compliance with ISU's Conflict of Interest Policy.** (LCSA and ISU may require prior approval of any subagreement; see **Section 5.2.c. Negotiating and Approving Subagreements**.)

Some subagreement conditions may differ from the grantee/LCSA agreement. For example:

- Subagreement organizations may be for-profits and may be located outside of Iowa.

- Some subagreements may be other than cost-reimbursable (see Section 5.2.d. **Payments to Subagreement Organizations**).

If intellectual property may arise from the work of the subagreement organization, the grantee must consult with the LCSA early in the process of developing a subagreement.

#### 5.2.b. The Subagreement Document

A subagreement document must include a scope of work, time schedule, budget and budget justification or narrative. The subagreement should include terms no less stringent than the Grant Agreement with the grantee organization. You may use the scope of work (see **Section 3.2.b. Scope of Work**), budget template and budget narrative guidelines (see **Section 3.2.c. Proposal Narrative** or the examples in the **Appendices**) as a guide for this process.

ISU grantees developing subagreements are encouraged to modify and use the sample Grant Agreement form in the **Appendices**. The LCSA can provide the form via e-mail as well.

#### 5.2.c. Negotiating and Approving Subagreements

- If necessary, the PI and the LCSA program leader can discuss and agree on the intended subagreement. (Discuss this during the grant negotiations if possible.)
- The PI negotiates with the subagreement organization and prepares a subagreement document.
- **The LCSA program leader reserves the right to require LCSA approval of the subagreement document prior to its routing for signatures.**
- The PI provides the subagreement organization with a copy of the fully-signed agreement and, upon request, the LCSA with one copy of the fully-signed agreement.

#### 5.2.d. Payments to Subagreement Organizations

- ISU grantees must establish cost-reimbursable subagreements. The subagreement organization then submits invoices for reimbursement to ISU Sponsored Programs Accounting (SPA) not more often than monthly. (See address in **Section 4.4.a. Payments to Grantees Not at Iowa State University**.) SPA submits the invoice and voucher to the ISU PI to approve before payment is made.

The subagreement invoices should include the original grantee's name and the LCSA and ISU grant numbers; the subagreement organization's name, Federal Tax ID Number and address; an itemized list of requested reimbursements for a stated period; and a column showing cumulative reimbursements. A sample invoice is included in the **Appendices**.

- **LCSA grantees or PIs who are not at ISU** and who establish subagreements must use cost-reimbursable subagreements. ISU is not involved in the payment process between non-ISU parties.

#### 5.2.e. Modifications to Subagreements

The LCSA and ISU play the same role in modifications to subagreements as in modifications to Grant Agreements. See **Section 4.5. Reallocation of Grant Funds**

and **Section 4.7. Amendments to Grant Agreements** for a discussion on actions that trigger a need for modification of a subagreement.

## 6. Renewals or Multiple-Year Grants

A **renewal or multiple-year grant** extends an existing LCSA grant for up to 12 months and awards additional funds. A **Progress Report and Renewal Request (PRRR)** (see **Section 6.2.b.**) for the continuation of funding is required as part of acquiring a renewal or multiple-year grant. The renewal or multiple-year grant is awarded on an annual basis and releases next year's funding through the award letter.

With the approval of the LCSA on multi-year grants, funds from the ensuing year can be spent by the PI; but if funding is not received for some reason, the PI is responsible for the overspent amount. If there are unspent funds at the end of the year on multi-year grants, they may be carried over into the next project year. Amounts carried over must be reasonable; if excessive, the PI first must discuss the reasons why with the LCSA program leader. If any funds are still unspent when the project has been completed, they will be returned to the LCSA's account which provided the original funding. See **Section 7.1. Expenditures, Invoices and Payments.**

### 6.1. The Renewal Grant Process

Within the 9th or 10th month of a multi-year award, the LCSA will send out instructions for the **Progress Report and Renewal Request** which must be prepared and submitted by the PI to ensure further funding. The instructions will include the deadline for submitting renewal grant applications.

The PI is encouraged to contact the program leader prior to the submission deadline to discuss the conditions under which the LCSA may consider renewing the grant. At this point, the project schedule and budget needs for the remainder of the current year will be reviewed.

PRRRs are reviewed by the LCSA program leader and he/she decides if the grantee has met the requirements for next year funding. Since the original grant agreement has stated the full multiple-year period, no subsequent award letter is issued.

### 6.2. Guidelines for the Progress Report and Renewal Request (PRRR)

#### 6.2.a. Submission Procedures

Submit **one (1) original** (single-sided) copy of the PRRR either by e-mail or as hard copy (see **Section 6.2.b.** below) to the LCSA program leader. (No faxes, please.) PRRRs received after the published submission deadline will not be considered unless approved by the program leader.

#### 6.2.b. Content and Format of PRRRs

Each PRRR must contain, but not necessarily be limited to, the following:

- **Cover Page:** The submission date and project title must be included along with an indication that this is a Progress Report and Renewal Request. It also is necessary to include the LCSA grant number, complete contact information of the grantee (name, address, e-mail, telephone and fax numbers) and the amount requested for the renewal year. **Note:** If this amount is expected to be different from the amount stipulated in the original award letter, it is necessary to contact the program leader **prior** to submitting the PRRR.
- **Scope of Work:** Describe in one or two paragraphs the LCSA project work plans for the coming year, where you are in the original project timeline, what objectives and strategies will be employed and who (which organizations) will be doing the work.

- **Brief Project Summary:** This should cover the highlights of accomplishments, challenges faced and changes made for the reporting year, and plans for the coming grant year.
- **Technical Report:** Contents in this area will depend on the initiative to which the original grant relates. Details about the actual sections required within the Technical Report will be listed in the instructions sent to the grantee.
- **Budget and Budget Narrative:** Reasons for any carryover or unspent funds need to be explained by major budget category. The new budget should cover the upcoming project year **only**. Separate budgets are required for any subagreements or consulting agreements that are to be included in the upcoming year's work. Please use categories and guidelines as laid out in **Section 3.2.c. Proposal Narrative (Budget)**.

### 6.3. No-Cost Extensions

Grants sometimes will not be completed within the time frame specified in the original grant proposal. When additional time is needed without an increase in funding, the PI requests in writing a **No-Cost Extension**. The extension request must include the LCSA grant number and title, the ISU funding account number, PI name and contact information, the reasons for requesting the extension, and the proposed new termination date. No-cost extension requests must be sent to the LCSA program leader for that grant. E-mail requests are acceptable.

The LCSA program leader will review the information and determine if the extension is to be granted. If it is granted, a formal amendment will be prepared and processed by the LCSA administrative specialist (see **Section 4.7. Amendments to the Grant Agreement**).

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## 7. Closeout Procedures for Grants

### 7.1. Expenditures, Invoices and Payments

**Sixty Days of Grace:** For up to 60 days after the end of the grant period, payments are allowed to be made for invoiced expenses which the grantee can document were incurred during the project period. The grantee may negotiate later invoicing of costs associated with the preparation and delivery of the final report to the LCSA with written approval. No other costs may be incurred after the grant period end date.

Any funds still remaining after this period will be returned to the LCSA.

### 7.2. Final Reports

A comprehensive final report is required when closing out a grant from the LCSA. Instructions for the final report will be sent to each grantee with a letter from the LCSA director. The due date will be stated in the instructions.

The PI will submit an electronic file of the final report to the program leader (one unbound single-sided hard copy is acceptable if electronic transmission is not possible). There is no minimum or maximum length for the final report, but **the report must follow the format outlined below.**

Copies of the entire final report are available upon request from the LCSA office. Specific questions concerning a particular study will be referred to the PI. Summaries of the final report will be prepared for inclusion on the Center's website by LCSA staff following submission; the PI is given the opportunity to review and approve this summary before it is placed on the website and made available to policymakers, the scientific community, extension, and other audiences.

Each report must contain, but not necessarily be limited to, the following:

#### 7.2.a. Cover Page

- At the top: "A final report prepared for the Leopold Center for Sustainable Agriculture"
- Date of report
- Project title and LCSA grant number (e.g., M2005-01)
- Principal investigator affiliation and contact information
- Co-investigator(s), affiliation(s), and telephone number(s)
- Duration of project and LCSA funds received each year

#### 7.2.b. Table of Contents

#### 7.2.c. Nontechnical Summary

This summary is routinely provided to the press and the general public. It gives an overview of the project and its results in lay language. The summary should not exceed two pages. Begin with the title, LCSA-assigned number, principal investigator, institution or organization, department, and office telephone number. In response to stakeholder requests regarding LCSA reports and work, the lead paragraph of the nontechnical summary should begin with a one- to two-sentence

description of the central question asked in the project, followed by a one- to three-sentence answer telling what was found.

#### **7.2.d. Technical Report**

Contents in this area will depend on the initiative to which the original grant relates. Details about the actual sections required within the Technical Report will be listed in the instructions sent to the grantee. Generally, they follow the original proposal format, and will include the following: Background and Introduction; Objectives, Strategies and Methods; Data and Discussion, Summary and Recommendations (Scientific Conclusions), Impact of the Results; Outreach and Information Transfer (such as Publications, Workshops, Education and Outreach, Cooperative Efforts and Student Support); Evaluation; Resources Leveraged and Bibliography.

#### **7.2.e. Budget Report and Narrative**

The LCSA will provide the format for the report. A brief **Budget Explanation** must accompany the report, discussing expenditures of LCSA funds for each category of the budget which resulted in significant overruns or changes (greater than 10% variance) in the original budget.

In the situation where multiple Supplemental Budgets exist on a single grant, the reports submitted by the PI must show expenditures combined from all grant accounts.

The final financial report must include details of subagreements and/or subcontracts. **The fiscal authority of the subagreement organization must sign-off on the report or include a letter certifying to the accuracy of the report.**

#### **7.2.f. Organization Audit Report *for Non-ISU Grantees***

**Grantees not at ISU** may be asked to provide an audit report covering expenditures associated with the grant. If so, instructions will be given as to where and when it should be sent.

**Pending awards for grantees who have not provided reports on currently funded projects in a timely manner will not be finalized until outstanding final reports are submitted and accepted.**

### **7.3. Closeout Letter**

An LCSA staff member sends an acknowledgement that the final report has been received. If the report is incomplete, he/she will communicate with the PI until all necessary information is received and acceptable.

## 8. APPENDICES

## 8.1. Grant Agreement - ISU

### INTERNAL GRANT AGREEMENT Leopold Center and Iowa State University

The General Assembly of the State of Iowa created the Leopold Center for Sustainable Agriculture (LCSA), to be administered by Iowa State University (ISU), an agency of the State of Iowa. The legislation which created the LCSA (Groundwater Protection Act of 1987) and the corresponding section of the Code of Iowa, Section 266.39, are incorporated by reference herein and referred to as the Prime Agreement.

Under the Prime Agreement, ISU desires to provide a grant for the project: «LastOfTitle». This Grant Agreement for performance of that project is entered into by and between ISU, and:

«Principal Investigator» «Organization», «Add1», «Add2», «City», «State» «Zip5» «Zip4»

acting as ISU Grantee. The LCSA will administer this agreement in accordance with the terms herein and with the policies and procedures stated in the LCSA Grant Manual, subject to ISU approval where necessary.

The parties agree as follows:

#### **ARTICLE 1 Scope of Work**

The scope of work, timeline and budget for the project are detailed in the attached project work plan, incorporated in this agreement as Exhibit A.

#### **ARTICLE 2 Grant Period**

The grant period for this agreement is «LastOfStartDate» – «LastOfEndDate». No change in the dates of the period of performance shall be made unless agreed to in writing by all parties to this agreement. The procedure for implementing an Amendment to the Grant Agreement (see Section 4.7. of the LCSA Grant Manual) shall be followed to change the dates of the current grant period.

#### **ARTICLE 3 Key Personnel**

The Principal Investigator (PI) for the agreement is «Salutation» «FirstName» «LastName». The PI shall not be replaced without written approval of the LCSA. Administrative questions should be directed to <<salutation>> <<first name>> <<last name>> of the LCSA.

«Program Leader» will serve as the LCSA Program Leader for this grant, to provide technical direction to and be the primary point of contact for the Grantee.

#### **ARTICLE 4 Reports and Other Deliverables**

The timeline in Exhibit A includes the schedule by which the PI agrees to provide technical reports and other deliverables to the LCSA. The LCSA will advise the PI regarding format for reports and other deliverables. Changes in the schedules represented on the Exhibit A timeline must be approved by the LCSA Program Leader.

Failure to provide reports in a timely manner on currently funded projects will result in no additional funding until all reporting is submitted and accepted.

#### **ARTICLE 5 Expenditures and Reallocation Within the Awarded Budget (Exhibit A)**

An ISU account will be established and funded by Sponsored Programs Accounting following signing of this agreement and completion of the ISU Goldsheet. Expenditures will be in accordance with the budget in Exhibit A, for the amount not to exceed «LastOfAward» as specified in Exhibit A.

Reallocation of awarded funds in five areas requires prior written approval from the LCSA Program Leader, and may require an amendment to the original agreement:

- 1) Adding a travel budget when no travel budget currently exists,
- 2) Increasing domestic or foreign travel budget for travel not already approved by the LCSA,
- 3) Increasing or decreasing planned equipment expenditures,
- 4) Increasing or decreasing payments to subagreement organizations or consultants, or
- 5) Initiating any unbudgeted expenditure requiring a purchase order for \$1,000 or more.

Section 4.5. of the LCSA Grant Manual describes the procedure for reallocation. The PI may reallocate up to 10% of LCSA funds among other Exhibit A budget categories without LCSA Program Leader prior approval, as long as the five items above or any other terms and conditions of the LCSA Grant Manual do not apply.

After «LastOfEndDate», the only allowed payments on this grant will be (a) expenses encumbered by that date in ISU's accounting system and (b) expenses which the PI can document were incurred during the project period. Payments related to both (a) and (b) must be completed within 60 days after «LastOfEndDate». On that date, the final invoice is due. Funds awarded by the LCSA but not properly expended according to the terms of this Agreement during the Grant Period defined in Article 2 will not remain obligated to ISU Grantee for any purpose.

#### **ARTICLE 6 Indirect Costs**

Indirect costs ("overhead") will not be reimbursed under this grant.

#### **ARTICLE 7 Equipment Accountability and Disposition**

The LCSA does not normally fund equipment. However, if equipment is approved in Exhibit A, the Grantee must maintain inventory and maintenance records for equipment purchased from LCSA grant funds.

Title to all equipment purchased pursuant to this grant shall vest in ISU.

#### **ARTICLE 8 Inspection**

Designated representatives of the LCSA and ISU have the right to inspect and review the progress of the work performed pursuant to this agreement. The primary "designated representative" for this agreement is the LCSA Program Leader. All reasonable facilities, including access to relevant data, test results, and computation used or generated under this agreement, shall be made available when requested in such a manner as to not unduly delay the progress of the work. The LCSA shall give the PI reasonable notice prior to conducting any such inspection.

#### **ARTICLE 9 Publications**

The PI is encouraged to publish, present or otherwise release in the public domain findings made under the LCSA grant. The following acknowledgment should be used in all documents submitted for publication or presentation:

"This project was funded in whole or in part by the Leopold Center for Sustainable Agriculture. Established by the 1987 Iowa Groundwater Protection Act, the Leopold Center supports the development of profitable farming systems that conserve natural resources."

Use of the LCSA logo is acceptable if space does not allow for the above statement.

#### **ARTICLE 10 Intellectual Property**

The PI shall inform the LCSA Program Leader of all intellectual property with commercial potential generated under this agreement. Intellectual property arising from work performed under this agreement by an ISU employee shall be the property of ISU. The ownership of intellectual property developed as part of a subagreement to this grant shall be addressed in the subagreement document.

**ARTICLE 11 Consulting Agreements and Subagreements**

The LCSA must authorize all consulting agreements and subagreements to be awarded under this grant, and has the right to prior approval of documents to be used as such. Section 5.1. of the Grant Manual provides guidance on developing consulting agreements and Section 5.2. of the Grant Manual provides guidance on developing subagreements. Consulting agreements and subagreements, other than those agreed upon in Exhibit A, shall be approved through an Amendment to the Grant Agreement. Section 4.7. of the Grant Manual prescribes the Amendment process. All subagreements (subawards, subcontracts) and consulting agreements must follow ISU's Conflicts of Interest and Commitment Policy pursuant to Article 14 below.

**ARTICLE 12 Default**

If the PI fails to substantially perform its obligations, the LCSA shall have the right to terminate this agreement subject to a 30-day notice. The PI may give a 30-day notice of termination with mutual agreement. The PI will be compensated for all actual and allowable expenses and all uncancelable obligations properly incurred prior to the date of termination. All other unexpended funds shall be returned to the LCSA within 30 days of default notice.

**ARTICLE 13 Termination/Cancellation**

If at any time the funding to the LCSA is terminated by the State of Iowa or other funding entity, this grant shall also be terminated upon receipt by the PI of written notice to that effect from the LCSA. Grantee shall be reimbursed for uncancelable obligations properly incurred prior to that date of termination. All other unexpended funds shall be returned to the LCSA within 30 days of termination notice.

The PI shall reimburse the LCSA for any losses resulting from audit disallowances relating to costs originally incurred by the PI. Reimbursement shall be made within 30 days of notice of audit disallowance.

**ARTICLE 14 Conflicts of Interest and Commitment**

Iowa law and regulations and ISU policies prohibit "employees" from selling to any Board of Regent institution, either directly or indirectly, goods or services with a value of \$2,000 without the prior approval of the Board of Regents. An "employee" includes any paid employee of the state of Iowa (including a paid employee of LCSA, Iowa State University and other Regent institutions), the employee's spouse or minor children, and any firm of which any of those persons is a partner or sole proprietor, as well as any corporation of which any of those persons hold five percent or more of stock. Any subagreement, subcontract, or consulting agreement that will be paid with funds from this grant must comply with this prohibition. Grantee shall notify LCSA of any proposed agreements and contracts involving "employees" as defined above and shall not enter into them until LCSA notifies Grantee that such an arrangement is permissible.

**ARTICLE 15 Applicable Policies**

This project shall be conducted in accordance with ISU's regulations and procedures.

**ARTICLE 16 Entire Agreement**

This Agreement, including any exhibits, attachments and provisions incorporated by reference, constitutes the entire agreement between the parties hereto and supersedes all prior agreements, understandings and arrangements, oral or written, among the parties hereto with respect to the subject matter hereof. This Agreement may be amended only by an instrument in writing duly executed on behalf of the Parties.



## 8.2. Grant Agreement – Not at ISU

### GRANT AGREEMENT

The General Assembly of the State of Iowa created the Leopold Center for Sustainable Agriculture (LCSA), to be administered by Iowa State University (ISU), an agency of the State of Iowa. The legislation which created the LCSA (Groundwater Protection Act of 1987) and the corresponding section of the Code of Iowa, Section 266.39, are incorporated by reference herein and referred to as the Prime Agreement.

Under the Prime Agreement, ISU desires to provide a grant for the project: «LastOfTitle». This grant agreement for performance of that project is entered into by and between ISU, and:

«Organization», «Add1», «Add2», «City», «State» «Zip5» «Zip4»

acting as Grantee. The LCSA will act on behalf of ISU in administering this agreement in accordance with the terms herein and with the policies and procedures stated in the LCSA Grant Manual. Such conduct of the LCSA is subject to ISU approval.

The parties agree as follows:

#### **ARTICLE 1 Scope of Work**

The scope of work, timeline and budget for the project are detailed in the attached project work plan, incorporated in this agreement as Exhibit A.

#### **ARTICLE 2 Grant Period**

The grant period for this agreement is «LastOfStartDate» – «LastOfEndDate». No change in the dates of the period of performance shall be made unless agreed to in writing by all parties to this agreement. The procedure for implementing an Amendment to the Grant Agreement (see Section 4.7. of the LCSA Grant Manual) shall be followed to change the dates of the current grant period.

#### **ARTICLE 3 Key Personnel**

Grantee's principal investigator (PI) for the agreement is «Salutation» «FirstName» «LastName». The PI shall not be replaced without written approval of the LCSA and ISU. Administrative questions should be directed to <<salutation>> <<first name>> <<last name>> of the LCSA.

«Program Leader» will serve as the LCSA Program Leader for this grant, to provide technical direction to and be the primary point of contact for the Grantee.

#### **ARTICLE 4 Reports and Other Deliverables**

The timeline in Exhibit A includes the schedule by which Grantee agrees to provide technical reports and other deliverables to the LCSA. The LCSA will advise Grantee regarding format for the technical reports and other deliverables. Changes in the schedules represented on the Exhibit A timeline must be approved by the LCSA Program Leader and ISU.

Pending awards for grantees not providing reports on currently funded projects in a timely manner will not be finalized until outstanding final reports are submitted and accepted.

#### **ARTICLE 5 Expenditures and Payment of Invoices**

ISU agrees to reimburse Grantee for performance of work under Article 1 above in the amount not to exceed «LastOfAward» as specified in Exhibit A. All costs incurred in the performance of this grant are subject to the limitations of Articles 6 and 7 herein.

Grantee must submit invoices not more often than monthly to:

Iowa State University  
Sponsored Programs Accounting  
3609 Administrative Services Building  
2221 Wanda Daley Drive  
Ames, Iowa 50011

Grantee will submit one copy of each invoice (see Exhibit B). Payment will be made upon receipt of proper invoices. The final invoice is due to Sponsored Programs Accounting no later than 60 days after «LastOfEndDate» or termination as provided for in Articles 14 & 15.

After «LastOfEndDate», the only payments on this grant will be for (a) expenses which the Grantee can document were incurred during the project period and (b) expenses associated with preparation and delivery of the final technical report or deliverables (upon prior agreement with LCSA Program Leader). Invoices related to both (a) and (b) must be submitted within 60 days after «LastOfEndDate». On that date, the final invoice is due. Funds awarded by the LCSA but not expended according to the terms of this Agreement during the Grant Period defined in Article 2 will not remain obligated to Grantee for any purpose.

#### **ARTICLE 6 Indirect Costs**

Indirect costs (“overhead”) will not be reimbursed under this grant.

#### **ARTICLE 7 Allowable Costs**

The allowability of costs chargeable to this grant is determined by all applicable Federal, State and Local rules and regulations, and ISU and LCSA policies. Exceptions to policies must be negotiated with the LCSA Program Leader. Questions regarding cost allowability shall be addressed to the LCSA Program Leader.

#### **ARTICLE 8 Reallocations Within the Awarded Budget (Exhibit A)**

Reallocation of awarded funds in five areas requires prior written approval from the LCSA Program Leader and ISU, and may require an amendment to the original agreement:

- 1) Adding a travel budget when no travel budget currently exists,
- 2) Increasing domestic or foreign travel budget for travel not already approved by the LCSA,
- 3) Increasing or decreasing planned equipment expenditures,
- 4) Increasing or decreasing payments to approved subagreement organizations or consultants, or
- 5) Initiating any unbudgeted expenditure requiring a purchase order for \$1,000 or more.

Section 4.5 of the LCSA Grant Manual describes the procedure for reallocation. Grantee may reallocate up to 10% of LCSA funds among other Exhibit A budget categories without LCSA Program Leader prior approval, as long as the five items above or any other terms and conditions of the LCSA Grant Manual do not apply.

#### **ARTICLE 9 Accounts, Audits and Records**

1. Grantee shall maintain books, records, documents, and other evidence, accounting procedures, and practices, sufficient to reflect properly all costs of whatever nature Grantee claims to have incurred for the performance of this grant. The foregoing constitutes "records" for the purposes of this clause.
2. Grantee’s facility(ies), or such part thereof as Grantee may be engaged in the performance of this grant, and Grantee’s records shall be subject at all reasonable times to inspection and audit by ISU's Director of Sponsored Programs Administration or his authorized representatives.
3. Grantee shall preserve and make available all records until the expiration of five years after the end of the budget period which they cover or until audit is completed and all resulting questions resolved.
4. Grantee shall forward to Office of Sponsored Programs Accounting one copy of its most recent OMB A-133 audit (if applicable).

**ARTICLE 10 Equipment Accountability and Disposition**

The LCSA does not normally fund equipment. However, if equipment is approved in Exhibit A, Grantee must maintain inventory and maintenance records for equipment purchased from LCSA grant funds.

Title to all equipment purchased pursuant to this grant shall vest in Grantee.

**ARTICLE 11 Inspection**

Designated representatives of the LCSA and ISU have the right to inspect and review the progress of the work performed pursuant to this agreement. The primary “designated representative” for this agreement is the LCSA Program Leader. All reasonable facilities, including access to relevant data, test results, and computation used or generated under this agreement, shall be made available when requested in such a manner as to not unduly delay the progress of the work. ISU and/or the LCSA shall give Grantee reasonable notice prior to conducting any such inspection.

**ARTICLE 12 Publications**

The Grantee is encouraged to publish, present or otherwise release in the public domain findings made under the LCSA grant. The following acknowledgment should be used in all documents submitted for publication or presentation:

“This project was funded in whole or in part by the Leopold Center for Sustainable Agriculture. Established by the 1987 Iowa Groundwater Protection Act, the Leopold Center supports the development of profitable farming systems that conserve natural resources.”

Use of the LCSA logo is acceptable if space does not allow for the above statement.

**ARTICLE 13 Intellectual Property**

Grantee shall inform the LCSA Program Leader of all intellectual property generated under this agreement. Subject to the conditions contained in this Article, all property rights, titles, and interests in intellectual property generated under this grant shall belong to Grantee.

Grantees shall have one (1) year from the date of grant termination to elect title to intellectual property generated under this grant agreement. Election of title shall be made in writing to the Director of the Office of Intellectual Property and Technology Transfer at Iowa State University. If the Grantee fails to elect title within one year, title to all intellectual property generated under the grant agreement shall be assigned to ISU. Grantees that elect to retain title to intellectual property shall have one (1) year from the date of election to file for statutory protection or, in the case of copyrightable subject matter, registration. If the Grantee fails to register or file for statutory protection within one year of electing to retain title, ownership of all intellectual property generated under this agreement shall be assigned to ISU.

If Grantee (1) does not elect to retain title, or as provided above (2) fails to elect to retain title or (3) fails to file for statutory protection or registration, grantee will assign ownership of intellectual property to ISU. Grantee rights in intellectual property assigned to ISU shall be governed by the policies established by the Office of Intellectual Property and Technology Transfer at Iowa State University. When ownership of intellectual property rights is assigned to ISU, the inventor/creator(s) shall sign all necessary papers required for intellectual property protection including, but not limited to, assignments, disclosures, filings, and royalty distributions and shall provide to ISU copies of all enabling data, drawings, materials and methods, software code, and prepared, submitted or published manuscripts that describe the intellectual property.

If grantee retains title to and files for protection of intellectual property generated under this agreement, ISU and the LCSA shall have a royalty-free license to use the intellectual property for non-commercial research and educational purposes.

**ARTICLE 14 Consulting Agreements and Subagreements**

Upon request, Grantee agrees to provide to ISU any subagreements, subcontracts, or consulting agreements that are awarded under this grant. Section 5.1. of the Grant Manual provides guidance on developing consulting agreements and Section 5.2. of the Grant Manual provides guidance on developing subagreements. Grantee may not enter into any consulting agreement or subagreement other than that agreed upon in Exhibit A, without prior approval from the LCSA Program Leader and ISU. An Amendment to the Grant Agreement may be required. Section 4.7. of the Grant Manual prescribes the Amendment procedure. See ARTICLE 19 Conflicts of Interest and Commitment for discussion of how these must comply with ISU's Conflicts of Interest and Commitment Policy.

**ARTICLE 15 Default**

If Grantee fails to substantially perform its obligations, the LCSA and ISU in addition to whatever legal remedy it may have in law or in equity, shall have the right to terminate this agreement subject to a 30-day notice. Grantee may for cause also give a 30-day notice of termination. Grantee will be compensated for all actual and allowable expenses and all uncancelable obligations properly incurred prior to the date of termination. All other unexpended funds shall be returned to the LCSA within 30 days of default notice.

**ARTICLE 16 Termination/Cancelation**

If at any time funding to the LCSA is terminated by the State of Iowa or other funding entity, this grant shall also be terminated upon receipt by Grantee of written notice to that effect from the LCSA and ISU. Grantee shall be reimbursed for uncancelable obligations properly incurred prior to that date of termination. All other unexpended funds shall be returned to the LCSA within 30 days of termination notice.

Grantee shall reimburse the LCSA and ISU for any losses resulting from audit disallowances relating to costs originally incurred by Grantee. Reimbursement shall be made within 30 days of notice of audit disallowance.

**ARTICLE 17 Applicable Law**

This agreement shall be authorized by and construed in accordance with the laws of the State of Iowa.

**ARTICLE 18 Equal Opportunity**

During the performance of this agreement, Grantee agrees as follows:

1. Grantee will not discriminate against any employee or applicant for employment because of race, color, religion, sex or natural origin.
2. Grantee will comply with all provisions of Executive Order No. 11246 dated September 24, 1965, as amended and of the rules, regulations and relevant orders of the Secretary of Labor.
3. In the event of Grantee noncompliance with the Equal Opportunity Clause, this grant may be canceled, terminated, or suspended in whole or in part, as deemed appropriate by ISU.

**ARTICLE 19 Conflicts of Interest and Commitment**

Iowa law and regulations and ISU policies prohibit "employees" from selling to any Board of Regent institution, either directly or indirectly, goods or services with a value of \$2,000 without the prior approval of the Board of Regents. An "employee" includes any paid employee of the state of Iowa (including a paid employee of LCSA, Iowa State University and other Regent institutions), the employee's spouse or minor children, and any firm of which any of those persons is a partner or sole proprietor, as well as any corporation of which any of those persons hold 5 percent or more of stock. Any subagreement, subcontract, or consulting agreement that will be paid with funds from this grant must comply with this prohibition. Grantee shall notify LCSA of any proposed agreements and contracts involving "employees" as defined above and shall not enter into them until LCSA notifies Grantee that such an arrangement is permissible.

**ARTICLE 20 Entire Agreement**

This Agreement, including any exhibits, attachments and provisions incorporated by reference, constitutes the entire agreement between the parties hereto and supersedes all prior agreements, understandings and arrangements, oral or written, among the parties hereto with respect to the subject matter hereof. This Agreement may be amended only by an instrument in writing duly executed on behalf of the Parties.

ACCEPTED

For «**Organization**»

For **Leopold Center**

---

«Salutation» «FirstName» «LastName» Date  
Principal Investigator

---

Mark Rasmussen Date  
Director

For **Iowa State University**

---

Authorized Contracting Official Date  
Name and Title

---

Marva K. Ruther Date  
Post-Award Administrator  
Office of Sponsored Programs Administration

---

Federal Tax ID Number

**8.3. Proposed Budget for ISU Grants**

**Leopold Center for Sustainable Agriculture  
Proposed Budget for ISU Grants**  
 \_\_\_ Project Budget    \_\_\_ Subcontract Budget    (Check one)

Refer to instructions on the back of this form. A separate budget is required for each project year.

	<b>Leopold Center Requested Funds</b>
<b>Salaries/Hourly</b>	<input style="width: 100%;" type="text"/>
<b>Payroll Benefits</b>	<input style="width: 100%;" type="text"/>
<b>Equipment &gt; \$5,000</b>	<input style="width: 100%;" type="text"/>
<b>Travel - Domestic</b>	<input style="width: 100%;" type="text"/>
<b>Travel - Foreign</b>	<input style="width: 100%;" type="text"/>
<b>Student Tuition</b>	<input style="width: 100%;" type="text"/>
<b>Supplies &amp; Materials</b>	
Ag & Vet Supplies	<input style="width: 100%;" type="text"/>
Lab & Research Supplies	<input style="width: 100%;" type="text"/>
Other Supplies	<input style="width: 100%;" type="text"/>
<b>Subcontracts (Attach separate budget for each)</b>	
1.	<input style="width: 100%;" type="text"/>
2.	<input style="width: 100%;" type="text"/>
3.	<input style="width: 100%;" type="text"/>
4.	<input style="width: 100%;" type="text"/>
<b>Total Subcontracts</b>	<input style="width: 100%; border: 2px solid black;" type="text" value="0"/>
<b>Other Direct Costs</b>	
Telecommunication Charges	<input style="width: 100%;" type="text"/>
Computer Usage	<input style="width: 100%;" type="text"/>
Printing/Copying	<input style="width: 100%;" type="text"/>
Honoraria/Services	<input style="width: 100%;" type="text"/>
Postage	<input style="width: 100%;" type="text"/>
Other	<input style="width: 100%;" type="text"/>
<b>Total Other Direct Costs</b>	<input style="width: 100%; border: 2px solid black;" type="text" value="0"/>
<b>TOTAL DIRECT COSTS</b>	<input style="width: 100%; border: 2px solid black;" type="text" value="0"/>



**Instructions for Completing Budget Form**  
**Marketing & Food Systems, Ecology,**  
**Cross-Cutting and Policy Initiatives**  
 (Submit separate budgets for each project year)  
 (Use *only* the budget categories listed)

**Budget Template (required):** Use this to show the totals for the main categories in your budget.

**Budget Narrative or Justification (required):** Use this to explain what the money is actually going to be spent on, using descriptive terms rather than just dollar amounts. Also, explain how the dollar amounts are derived (e.g., x hours @ \$/hour, 7 trips of 80 miles each x \$.405/mile, 40 sample kits @\$2.52/kit).

**Salaries/Hourly:** List all personnel to be paid from the project. Indicate each person's job or student classification (e.g., Faculty, P&S, Master's candidate, PhD candidate, Technical support, Hourly). Describe what the individuals will do on the project. Include approximate number of hours per week/month and the rate; or as % of time and rate.

**Payroll Benefits:** List fringe benefit rates and totals for each employee, if applicable. Required for ISU employees: use the standard benefit percentages for ISU employees from the Office of Sponsored Programs Administration website ([www.ospa.iastate.edu/Policies/FringeBenefits.aspx](http://www.ospa.iastate.edu/Policies/FringeBenefits.aspx)).

**Equipment:** Equipment is defined by ISU as anything having an acquisition value of \$5,000 or more and a useful life of one or more years. Items not meeting the \$5,000 criteria should be listed under supplies and materials.

**IMPORTANT:** The Leopold Center only pays for equipment (no matter what the value) for the life of the Leopold-funded portion of the project, and this **must be pre-negotiated with the Center**. After negotiation, list all equipment to be purchased or leased in the appropriate category of 'equipment' (over \$5,000) or 'supplies' (under \$5,000) with the annual cost beside it. Describe the needed equipment, your purchase or lease decision, and why the equipment is critical to the project.

**Travel:** List each planned trip and provide cost estimates. Include destinations, registration fees, transportation, lodging and food (per diem). ISU has established rates for daily food. Lodging should show rate x number of days. Travel should be broken down between Domestic and Foreign.

**Student Assistance/Tuition/Support:** Scholarships, stipends, tuition, etc., should be itemized with a dollar amount for each item. Show rates and totals for each student being paid from this grant. For ISU students, indicate classification (i.e., master's or PhD) and semester covered (i.e., fall, spring, or summer). Indicate hours worked per week for each student. ISU student employee salaries should be reflected in Salaries above.

**Supplies/Materials:** Briefly describe the supplies being used in each category and their justification. Include a calculation for each supply showing quantity x cost per unit. Supplies are divided into three categories. Here are some examples in each: Ag & Vet Supplies (fertilizers, animals, seeds, fencing, etc.), Lab & Research Supplies (chemicals, lab containers, drugs, food used in research, analysis kits), Other Supplies (refreshments you provide and catering [ISU Dining only] excluding alcohol, office supplies, stationery, etc.). 'Other Supplies' should be identified in detail.

**Subcontracts:** List each subcontract and its related cost as a separate line item on the budget template. Provide the rates/hours for each proposed subcontract. Describe the exact advice or service to be provided. **For each subcontract proposed, provide a separate budget page using the standard budget categories on the template.**

**Other Direct Costs:** Follow the categories shown on the budget template. It is critical that you describe precisely what is in this category. Honoraria/Services includes speaker fees, farmer cooperator payments, etc., or any other services < \$2,000. Consultants < \$25,000 should be individually identified under Services, together with consultant travel and incidentals. Consultants > \$25,000 need to follow the University's bidding process. Describe the exact service provided by each Consultant. The 'Other' category includes routine services (e.g., small equipment rental, laboratory testing services, rental space charges) and catering other than ISU Dining. The 'Other' line item should also be explained in detail.

**NOTE:** *The Leopold Center for Sustainable Agriculture does not pay indirect facilities and administrative costs.*

8.4. Proposed Budget for Non-ISU Grants

Leopold Center for Sustainable Agriculture  
Proposed Budget for Non-ISU Grants

\_\_\_ Project Budget    \_\_\_ Subcontract Budget    (Check one)

Refer to instructions on the back of this form. A separate budget is required for each project year.

	<b>Leopold Center Requested Funds</b>
<b>Salaries/Hourly &amp; Payroll Benefits</b>	<input type="text"/>
<b>Equipment &gt; \$5,000</b>	<input type="text"/>
<b>Travel - Domestic</b>	<input type="text"/>
<b>Travel - Foreign</b>	<input type="text"/>
<b>Student Tuition</b>	<input type="text"/>
<b>Supplies &amp; Materials</b>	
<b>Ag &amp; Vet Supplies</b>	<input type="text"/>
<b>Lab &amp; Research Supplies</b>	<input type="text"/>
<b>Other Supplies</b>	<input type="text"/>
<b>Subcontracts (Attach separate budget for each)</b>	
1.	<input type="text"/>
2.	<input type="text"/>
3.	<input type="text"/>
4.	<input type="text"/>
<b>Total Subcontracts</b>	<input type="text" value="0"/>
<b>Other Direct Costs</b>	
<b>Telecommunication Charges</b>	<input type="text"/>
<b>Computer Usage</b>	<input type="text"/>
<b>Printing/Copying</b>	<input type="text"/>
<b>Honoraria/Services</b>	<input type="text"/>
<b>Postage</b>	<input type="text"/>
<b>Other</b>	<input type="text"/>
<b>Total Other Direct Costs</b>	<input type="text" value="0"/>
<b>TOTAL DIRECT COSTS</b>	<input type="text" value="0"/>



**Instructions for Completing Budget Form**  
**Marketing & Food Systems, Ecology,**  
**Cross-Cutting, and Policy Initiatives**  
 (Submit separate budgets for each project year)  
 (Use *only* the budget categories listed)

**Budget Template (required):** Use this to show the totals for the main categories in your budget.

**Budget Narrative or Justification (required):** Use this to explain what the money is actually going to be spent on, using descriptive terms rather than just dollar amounts. Also, explain how the dollar amounts are derived (e.g., x hours @ \$/hour, 7 trips of 80 miles each x \$.405/mile, 40 sample kits @\$2.52/kit).

**Salaries/Hourly & Payroll Benefits:** List all personnel to be paid from the project. Indicate each person's job or student classification. Benefits can be included in the total for each person. Describe what the individuals will do on the project. Include approximate number of hours per week/month and the rate; or as % of time and rate.

**Equipment:** Equipment is defined by ISU as anything having an acquisition value of \$5,000 or more and a useful life of one or more years. Items not meeting the \$5,000 criteria should be listed under supplies and materials. **IMPORTANT:** The Leopold Center only pays for equipment (no matter what the value) for the life of the Leopold-funded portion of the project, and this **must be pre-negotiated with the Center**. After negotiation, list all equipment to be purchased or leased in the appropriate category of 'equipment' (over \$5,000) or 'supplies' (under \$5,000) with the annual cost beside it. Describe the needed equipment, your purchase or lease decision, and why the equipment is critical to the project.

**Travel:** List each planned trip and provide cost estimates. Include destinations, registration fees, transportation, lodging and food (per diem). ISU has established rates for daily food. Lodging should show rate x number of days. Travel should be broken down between Domestic and Foreign.

**Student Assistance/Tuition/Support:** Scholarships, stipends, tuition, etc., should be itemized with a dollar amount for each item. Show rates and totals for each student being paid from this grant. Indicate hours worked per week for each student.

**Supplies/Materials:** Briefly describe the supplies being used in each category and their justification. Include a calculation for each supply showing quantity x cost per unit. Supplies are divided into three categories. Here are some examples in each: Ag & Vet Supplies (fertilizers, animals, seeds, fencing, etc.), Lab & Research Supplies (chemicals, lab containers, drugs, food used in research, analysis kits, etc.), Other Supplies (refreshments you provide and catering [ISU Dining only] excluding alcohol, office supplies, stationery, etc.). 'Other Supplies' should be identified in detail.

**Subcontracts:** List each subcontract and its related cost as a separate line item on the budget template. Provide the rates/hours for each proposed subcontract. Describe the exact service to be provided. **For each subcontract proposed, provide a separate budget page using the standard budget categories on the template. If your subcontract involves ISU personnel, please contact Kim Vo at 515-294-9388 or [kvo@iastate.edu](mailto:kvo@iastate.edu) for the proper procedure.**

**Other Direct Costs:** Follow the categories shown on the budget template. It is critical that you describe precisely what is in this category. Honoraria/Services includes speaker fees, farmer cooperator payments, etc., or any other services < \$2,000. Consultants < \$25,000 should be individually identified under Services, together with consultant travel and incidentals. Consultants > \$25,000 need to follow the University's bidding process. Describe the exact service provided by each Consultant. The 'Other' category includes routine services (e.g., small equipment rental, laboratory testing services, rental space charges) and catering other than ISU. The 'Other' line item should also be explained in detail.

*NOTE: The Leopold Center for Sustainable Agriculture does not pay indirect facilities and administrative costs.*



**8.6. Invoice Form**

**INVOICE**

**Vendor Name:** \_\_\_\_\_

**Vendor Address:** \_\_\_\_\_

**ISU Contract No.:** (Project #) \_\_\_\_\_ (PO#) \_\_\_\_\_ (Fund Acct #) \_\_\_\_\_

**Invoice Period:** \_\_\_\_\_

**Invoice Number:** \_\_\_\_\_

	<b>Budget</b>	<b>Previously Reported</b>	<b>Current Period Expended</b>	<b>Expended To Date</b>
<b>Salaries and Wages</b>				
<b>Payroll Benefits</b>				
<b>Equipment &gt; \$5,000</b>				
<b>Travel-Domestic</b>				
<b>Travel-Foreign</b>				
<b>Student Tuition</b>				
<b>Supplies &amp; Materials</b>				
<b>Subcontracts</b>				
<b>Consultants</b>				
<b>Other Direct Costs (Detailed Below)</b>				
<b>Total Costs</b>				
<b>Total Due This Invoice</b>				

**Final Invoice (circle):**                      **Yes**                      **No**

I certify that to the best of my knowledge all expenditures reported, or payments requested, are appropriate and in accordance with the agreement set forth in the award documents.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Phone Number