

**Clemson University Research Policies Manual**  
**Clemson University Sponsored Project Management**

**Small Restricted Receipt Use Policy**

**Effective: November 16, 2007**

**Revised: January 31, 2011**

**Statement**

The Office of the Vice President for Research (VPR) reserves the right to determine if an individual project 'receipt' activity must be processed and administered as a separately assigned project account number for proper stewardship purposes.

**Policy**

When funds are received from an organization/individual (along with a cover letter where applicable) and no other contractual document is forthcoming for execution, the college staff responsible person for the Small Restricted Receipt (SRR) activity must forward all documents and correspondence pertinent to the project/SRR activity to the VPR Business Officer.

Limitations/Understandings

- Total value for each check should be no greater than \$15,000. Incrementally funded awards should not exceed \$15,000 per fiscal year.
- Not appropriate for situations if sponsor requires signature acceptance/execution by the University, any issues involving Intellectual Property, or any deliverables specified by the Sponsor. Deliverables are specified as items by which the Sponsor seeks certain results (results should be open ended). The requirement of certain results implies terms of a contract.
- Funds strictly limited to the restricted purpose for which they were received – surplus cash balances **shouldn't** be accumulated as a routine, and excess balances are subject to rebudgeting at the respective Dean's discretion. The departmental staff has the right to rebudget funds as needed.
- Generally not available for any government funds (federal) or any funds designated explicitly as a 'gift'. These funds (gifts) should be forwarded to the Clemson University Foundation Office for further processing.
- The responsible faculty member for the SRR activity must separately address appropriate compliance issues related to said SRR activity and shall bear all responsibilities thereof. Compliance issues include but are not limited to: human subjects, animal care, biosafety, chemical hazards, radiation safety, controlled substances, technology transfer, conflict of interest, and patent disclosures.

- The college staff person(s) responsible for the SRR activity must forward all documents (deposit slip, copy of check received, any hardcopy correspondence, SRR form and SRR budget amendment) to the VPR Business Officer. **If there is no hardcopy correspondence, the PI involved should include a brief statement to this affect.**
- Receipts stemming from private industry purchase orders issued by companies **will not** be processed as SRR submissions. Purchase orders from a company typically contain conditions that are inappropriate (Warranty of goods or services, Insurance Coverage, Indemnification/Hold Harmless) for a University. Purchase orders should be submitted through standard review Offices by way of a proposal processing form, which will include a Scope of Work and a budget to include overhead. A separate account will then be established.

#### Form Routing

All attached paperwork will be submitted to the VPR Business Officer for review. Upon approval, the spending authority and budget line items will be adjusted accordingly for the specified project/grant. A copy of the approved budget amendment will be returned to the college staff for the PI's SRR account.

In the event that funds are not approved for placement in an SRR account, a memo will be provided explaining why. Corrections will need to be prepared to move funds into a more appropriate account.

#### Project/Grant Set-up

It will be assumed that a specific project/grant number has been previously established for each PI (and not donor/sponsor) who desires to use the SRR process. In the event that a project/grant has not been established, it will be up to the PI's department/college staff to request the establishment of this number. The number is established by submitting an e-mail to chart-l. A number (pre-fix 198) will be established in the name of the PI.