

Standard Operating Policies and Procedures Manual



Office of Sponsored Programs
& Title III
Fort Valley State University,
Fort Valley, Georgia

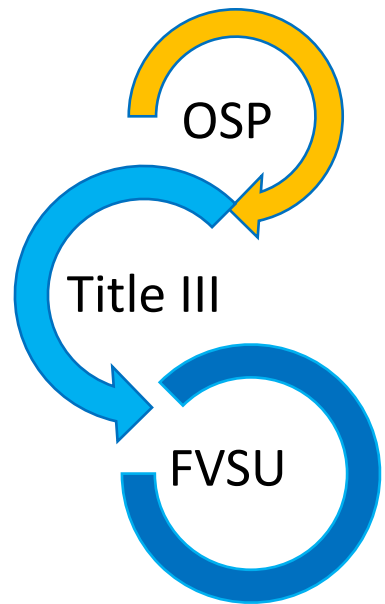
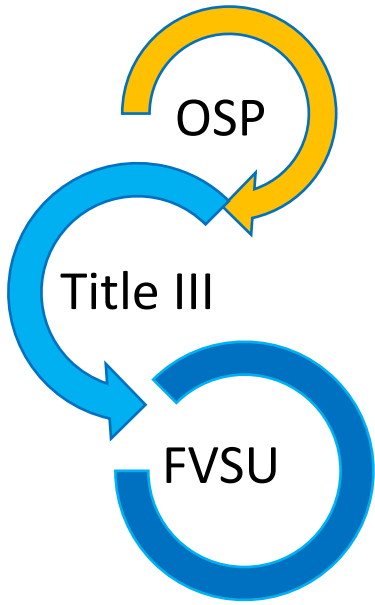


TABLE OF CONTENTS

Contents

GENERAL INFORMATION AND STAFF DIRECTORY.....	14
INTRODUCTION	19
Mission Statement and University Commitment to Research	19
1 GENERAL ADMINISTRATION.....	21
1.1 Principal Administration of Grants, Contracts, and Sponsored Programs	21
1.2 Office of Sponsored Programs (OSP)	21
1.2.1 Overview of the Office of Sponsored Programs	21
1.2.2 Organizational Structure	22
1.2.3 Major Functions	22
1.3 Policies of the University Affecting Grants, Contracts, and Sponsored Programs	23
1.3.1 Special Provisions	23
1.3.2 Patents or Copyrights	24
1.3.3 Special Obligations	24
1.4 Assurances and Certifications	24
1.4.1 Standard Federal Assurances	24
1.4.2 Lobbying (required since 1989)	25
1.4.3 Conflict of Interest	25
1.4.4 Civil Rights, Disabled Individuals, Age, and Sex Discrimination	26
1.4.5 Drug Free Workplace.....	27

1.4.6 Debarment and Suspension	28
1.4.7 Institutional Review Board (IRB)	28
1.5 Regulatory Compliance.....	29
1.5.1 Use of Humans as Research Subjects.....	29
1.5.2 Use of Animals as Research Subjects	30
1.5.3 Research Involving Biohazardous Materials, and Recombinant Deoxyribose Nuclear Acid (DNA)	30
1.5.4 Public Health and Safety.....	31
1.5.5 New Federal Uniform Guidance	31
1.6 Sponsored Research Standing Committee	32
1.6.1 Committee Objective	32
2 PRE-AWARDS ADMINISTRATION.....	33
2.1 Proposal Routing	33
2.1.1 Intellectual Property.....	33
2.2 Proposal Processing Procedures	33
2.2.1 Proposal Processing	33
2.2.1.2 Proposals Submitted to OSP Include.....	34
2.2.2 Sub-Award Proposals.....	35
2.2.3 Non-Sponsored Contracts.....	35
2.3 Unofficial Proposals	35
2.4 Guidelines for Basic Proposal Development.....	36
2.4.1 Proposal Components	36

2.4.2 Project Summary	36
2.4.3 Project Description or Narrative	36
2.4.4 Introduction or Background Information/Review of Literature.....	37
2.4.5 Need Statement/Statement of Problem	37
2.4.6 Objective(s)	37
2.4.7 Plan of Action or Methodology.....	37
2.4.8 Personnel.....	37
2.4.9 Facilities and Resources.....	38
2.4.10 Project/Program Time-Frame	38
2.4.11 Evaluation (a plan to evaluate the performance of the project)	38
2.4.12 Publication or Dissemination.....	39
2.4.13 Appendices.....	39
2.4.14 Vitae or Bibliographic Sketches.....	39
2.4.15 Bibliographical References.....	39
2.4.16 Letters of Endorsement	39
2.4.17 Budget Page and Budget Justification.....	40
2.4.18 Matching Funds.....	41
2.4.19 Release Time for Faculty	41
2.4.20 Plagiarism.....	41
2.5 Budget Guidelines.....	41
2.5.1 Compensation.....	43

2.5.1.1 Compensation Salaries and Wages	43
2.5.1.2 Salary Rates for Faculty and Staff	43
2.5.1.3 Extra Compensation	44
2.5.1.4 NSF Summer Salaries.....	44
2.5.2 Administrative and Clerical Salaries and Wages.....	45
2.5.3 Employee Status.....	45
2.5.4 Fringe Benefits	45
2.5.5 Equipment.....	46
2.5.6 Materials and Supplies.....	46
2.5.7 Travel	46
2.5.8 Consultant or Professional Services.....	46
2.5.9 Subcontractors.....	47
2.5.10 Facilities and Administrative Costs (F&A)	47
2.5.11 Restrictions on Assessment of Indirect Costs.....	48
2.5.12 Continuation/Supplemental Proposals for Awarded Projects	48
2.5.13 Budget Justification	48
2.5.14 Consultants	49
2.5.15 University Cost Sharing.....	49
2.5.16 Budget Revisions	50
2.5.17 Cost Sharing/Matching.....	50
2.6 Library Acquisition Initiative.....	51

3 POST-AWARDS ADMINISTRATION.....	52
3.1 Award Notification, Acceptance, and Spending Authorization Requirements.....	52
3.1.1 Notification of Funding/Notice of Award (NOA)	52
3.1.2 Budget Negotiation and Proposal Modification.....	53
3.2 Award Review and Acceptance.....	53
3.2.1 Post-Awards Conference.....	55
3.2.2 Assignment of Account Number	55
3.2.3 Internal Budget Amendment Form	56
3.2.4 Transfer of Funds	57
3.2.5 Changes in Grant/Budget Period	57
3.2.6 Sponsored Summer/Outreach Programs	57
3.2.7 No-Cost Extension	57
3.3 Subcontracting Procedures.....	58
3.3.1 Subrecipient–Statement of Work.....	59
3.3.2 Subrecipient Monitoring	60
3.4 Financial Management.....	63
3.4.1 Expenditure Approval.....	63
3.5. Travel Procedures	64
3.5.1 Travel Overview.....	64
3.6. Personnel	65
3.6.1 University Employment Procedures.....	65

3.6.2 Personnel Practices and Policies.....	65
3.6.3 Time and Effort Reporting Regulations	66
3.6.3.1 Students (i.e. Nonexempt Employees).....	67
3.6.4 Check-Out Procedures for Employees	68
3.6.5 Summer Contracts via External Funding.....	68
3.6.6 Nepotism Externally Funded	68
3.6.7 Research Ethics Policy	69
4 Title III Policies and Procedural Manual	70
4.1 How Title III Funds are Allocated to HBCUs.....	70
4.2 Legislation, Regulation and Guidance	70
4.3 Program Management	75
4.3.1 President.....	75
4.3.2 Title III Director	76
4.3.3 Title III Program Specialist	77
4.3.4 Title III Activity Director	78
4.4 Personnel	79
4.4.1 Limited Term Staff.....	79
4.5 Travel.....	79
4.5.1 International Travel	79
4.6 Fiscal Management and Purchasing.....	80
4.6.1 Fiscal Control of Title III Funds.....	80

4.7 Fiscal Accountability	81
4.7.1 Account Numbers	81
4.7.2 Purchasing/Justification of All Purchases	81
4.7.3 Payment of Expenses.....	82
4.8 Budgets.....	82
4.8.1 Managing Activity Budgets	82
4.8.2 Budget Modifications.....	82
4.8.3 Budget Revision Procedures	83
4.8.4 Budget Amendments Line Item Transfers.....	84
4.8.5 Transfer of Funds Across Activities.....	84
4.8.6 Expending Carryover Funds	84
4.9 Supplanting vs. Supporting	84
4.10 Evaluations	87
4.10.1 Program Evaluations.....	87
4.11 Title III Focus Areas.....	87
4.11.1 Quarterly Time and Effort and Progress Reporting	89
4.11.2 Consultant Services	89
4.12 Inventory Control.....	92
5 PROGRAMMATIC COMPLIANCE/TECHNICAL REPORTS	95
5.1 Programmatic Compliance/Technical Reports	95
5.1.1 Overview.....	95

5.1.2 Retention and Access Requirements for Records	95
5.1.3 University Records Retention Policy	96
5.2 Participant Support Costs.....	96
5.2.1 Background Information.....	96
5.2.2 Pertinent Regulations.....	97
5.3 Procedures	98
5.3.1 Budgeting for Participant Costs	98
5.3.2 Identifying and Accounting for Participant Costs.....	98
5.3.3 Monitoring the Project	98
5.3.4 Cost Transfers.....	99
5.3.5 Renewal and Continuation Applications	99
5.4 Grant Closeout.....	99
6 INTELLECTUAL PROPERTY.....	102
6.1 Disclosure	102
APPENDIX	103
Frequently Asked Questions (FAQs)	104
Glossary.....	107
Awards Process	113
Office of Sponsored Programs Organizational Chart	115
Grants and Contracts Process	116
Notice of Intent to Submit.....	117

Proposal Submission Form Instructions	118
Extra Compensation from Sponsored Funds.....	120
Student Worker and Student Participant Compensation.....	121
Personnel Action Notice (PAN)	123
Instructions for Preparing Budget Amendments	125
Quick Reference New Federal Uniform Guidance.....	127
Intellectual Property (IP) Policy	133
University System of Georgia Intellectual Property Policy	153
Title III –Part B Organizational Chart	162
Time and Effort Policy	163
Quarterly Progress Report	174
Title III Travel Report	180
Contract Routing Form.....	181
Consultant’s Report	182
Property Disposal.....	183
Property Transfer.....	184



Dear Colleagues:

It is with great pleasure that I share with you the Fort Valley State University (FVSU) Standard Operating Policies and Procedures Manual for the Office of Sponsored Programs and the Office of Title III for 2017-2022.

The primary responsibility of the Office of Sponsored Programs is to enhance the ability of FVSU to increase external research funding and enhance the research profile of our faculty, staff, and students. The primary responsibility of the Office of Title III Administration is effective management to include the overall coordination of Title III and Student Aid and Fiscal Responsibility Act (SAFRA) Grant Funds.

This publication has been compiled to assist you in ensuring compliance with federal and state laws and policies and to clarify proposal submission procedures and processing of awards for external sponsored program funds. In addition, it assures that the projected Title III activities perform as stipulated in the approved Title III Comprehensive Development Plan and the sponsored agreement.

Please allow me to express my appreciation to each principal investigator and Title III activity director for your continued commitment to compliance. Your work is truly invaluable. I also strongly encourage each of you to familiarize yourselves with the guidelines contained within this manual to ensure successful stewardship of our external funding. It serves as an excellent, comprehensive guide to understanding compliance and managing the funds entrusted to you that benefit and strengthen FVSU, now and for generations to come.

Best wishes,

T. Ramon Stuart, Ph.D.
Provost & Vice President for Academic Affairs
stuartt@fvsu.edu

GENERAL INFORMATION AND STAFF DIRECTORY

Physical Location

Office of Sponsored Programs	Office of Title III
Troup Administration Building, Suite 335	Troup Administration Building, Suite 328
Fort Valley State University	Fort Valley State University
1005 State University Drive	1005 State University Drive
Fort Valley, Georgia 31030	Fort Valley, Georgia 31030

Mailing Address

Fort Valley State University	Fort Valley State University
Office of Sponsored Programs	Office of Title III
Troup Administration Building, Suite 335	Troup Administration, Building Suite 328
1005 State University Drive	1005 State University Drive
Fort Valley, Georgia 31030	Fort Valley, Georgia 31030

Office of Sponsored Programs

Director and AOR Designee	(478) 825-6253
Administrative Assistant	(478) 825-4323
Pre-Awards Coordinator	(478)822-1063
Post-Awards Coordinator	(478) 822-1062
Data and Technology Research Assistant	(478) 825-6576

Office of Title III

Director (478) 825-6397
Program Specialist (478) 825-6397

Subject: Proposal Preparation Fact Sheet

The following information is used in the preparation of proposal cover sheets, budgets, certifications, and other forms. If you have any questions, contact the OSP office at (478) 825-4323.

Applicant Organization/Recipient

Fort Valley State University
1005 State University Drive
Fort Valley, Georgia 31030-4313

Institutional Authorized Organization Representative (AOR)

Provost and Vice President for Academic Affairs	Vice President of Business & Finance
1005 State University Drive	1005 State University Drive
Fort Valley, Georgia 31030	Fort Valley, Georgia 31030
(478) 825-6330	(478) 825-6425

Type of Organization

Public State-Controlled Institution of Higher Education

Business Type:

Educational Institution of Higher Education
Historically Black College/University (HBCU)
State Entity

Tax Identification Number (TIN):

Fort Valley State University's EIN:	58-6002062
Data Universal Numbering System (DUNS):	073459083
Commercial and Government Entity (CAGE)	Code: 0J9Y9

Facilities and Administrative Costs (Indirect Costs):

Facilities and Administrative (F&A) cost rates were negotiated with the Department of Health and Human Services for July 1, 2018 - June 30, 2022, until amended. Facilities and Administrative cost rates for FVSU are as follows:

On-campus projects	36%
Off-campus projects	13.64%

If the proposed sponsor requires a rate other than those indicated above, apply the sponsor's rate to the total direct costs, unless otherwise stipulated in the sponsor's guidelines.

Approval from the Provost and Vice President for Academic Affairs and the Vice President of Business and Finance is required for any reduced rate. Attach a copy of the sponsor's guidelines.

Current Fringe Benefits Rate:

Retirement	9.24%
Social Security (SS) and Medicare (M) (SS: 6.20% + M: 1.45%)	7.65%
Insurance	21.11%
TOTAL	38% or as low as 33%

Director of of Legal and Government Affairs

Fort Valley State University

1005 State University Drive

Fort Valley, Georgia 31030

(478) 825-4350

Representatives on Legislative Matters:

Georgia State General Assembly		
Mr. John F. Kennedy (R)	District 018	Georgia State Senate
Georgia State House of Representatives		
Mr. Robert L. Dickey (R)	District 140	Representative
Ms. Patty Bentley (D)	District 139	Representative
United States House of Representatives		
Mr. Sanford Bishop (D)	District 02 Representative	U.S. Congressman
Mr. Austin Scott (R)	District 08 Representative	U.S. Congressman
United States Congress		
Mr. David Perdue (R)	United States Senate	U.S. Senator
Mr. Johnny Isakson (R)	United States Senate	U.S. Senator

Institutional Review Board (IRB) (Protection from Research Risks):

All proposals that involve research to be performed by Fort Valley State University faculty or students that will involve (a) human subjects, (b) laboratory animals, (c) biosafety, or (d) biohazardous materials and/or chemicals must be reviewed by the appropriate Institutional compliance committee before submission to OSP.

A. Human Subjects

For project/program compliance with human subjects guidelines, please contact:

Chair, Human Subjects Committee (HSC)

(478) 825-6875

B. Institutional Animal Care and Use Committee (IACUC)

For project/program compliance with animal use guidelines, please contact:

Chair, Agricultural Laboratory Animal Care and Use Committee (ALCUC)

(478) 827-3091

C. Biosafety Committee

For project/program compliance with Biosafety guidelines, please contact:

Director of Risk Management, Safety, and Transportation and Environmental,

Health & Safety Officer

(478) 827-3017

D. Biohazardous Material

For project/program compliance with Biohazardous Materials guidelines, please contact:

Director of Risk Management, Safety, and Transportation and Environmental,

Health & Safety Officer

(478) 827-3017

INTRODUCTION

Mission Statement and University Commitment to Research



The Office of Sponsored Programs (OSP) strives to create and maintain the optimum environment for the Fort Valley State University (FVSU) research community to achieve excellence in research, scholarship, and service. This is

accomplished by

- stimulating interest in and enhancing capacity to pursue scholarly, pedagogical, and aesthetic activities;
- providing the means to secure and responsibly manage the resources for scholarly, pedagogical, and aesthetic activities;
- ensuring that such activities are conducted in an ethical and effective manner; facilitating the dissemination of knowledge and technology to the appropriate public and private sectors for the benefit of society;
- representing the research and scholarly goals, priorities, interests and concerns of university community members within the university and to other communities and stakeholders.

Fort Valley State University encourages faculty to engage in scholarship and research activities in order to maintain vitality in their profession and to provide for the best and most up-to-date instruction and graduate student education. The university promotes the acquisition of external support for these endeavors, whether for research, public service, or instructional activities.

The Office of Sponsored Programs strives to be a service-oriented office prepared to assist faculty and staff in the steps necessary to secure and administer external funding. The OSP coordinates proposal development and submission as well as post-award administration for individual, interdisciplinary, and multi-institutional sponsored programs. The OSP assists the program director (PD) or principal investigator (PI) in the interpretation of policies, regulations, and

guidelines applicable to particular projects. Program implementation, activities, budget reports, and other fiscal arrangements are the responsibility of the researcher or program director and the Office of Business and Finance.

The intent of this Standard Operating and Procedures Manual (SOPM) is to provide reference to the services and support offered by the OSP and present the policies and procedures that guide the sponsored programs/research community. The guidelines as presented are based on best practices in the area of sponsored research as outlined by the National Council of University Research Administrators (NCURA). The following sections provide overviews on informational services, internal funding opportunities, multi-institutional coordination, proposal development and submission, post-award negotiation and management, and regulatory and compliance issues. In response to the Board of Regents of the University System of Georgia's Office of Internal Audits May 2009 site visit, the Office of Sponsored Programs has included excerpts from their report which identify needs, gaps, and requirements to remain efficient, effective, and compliant in the area of Grants & Contracts Accounting/Time & Effort Reporting. Please review the Appendix section of this manual, to familiarize yourself with those requirements. To ensure an accurate description, proposal writers and award managers must submit all proposals and notices of awards to the OSP according to the procedures outlined in this manual. We hope that you will find this document useful and encourage you to consult the Office of Sponsored Programs' staff for clarity or further assistance.

1 | GENERAL ADMINISTRATION

1.1 Principal Administration of Grants, Contracts, and Sponsored Programs

Whereas responsibility for the ethical conduct of research and other sponsored activities at the University rests with the faculty, the University, through the President and Provost and Vice President for Academic Affairs, accepts responsibility for negotiating awards, accepting awards made pursuant to negotiating, and rendering institutional control over the administration of all research.

The President, as the Chief Executive Officer of the Fort Valley State University (FVSU), has the ultimate responsibility for the development and administration of policies and the development of strong and effective grants, contracts, and sponsored programs policies that can assist the faculty and staff in generating new knowledge that is ultimately transmitted to students and to the larger society.

The President, as the Chief Executive Officer of FVSU, has the responsibility for the management and supervision of all sponsored activities, in accordance with established policies and procedures. The President reviews proposed policies and procedures. The President or designee serves as the authorized representative but may delegate certain grant, contract, and sponsored program responsibilities to other appropriate levels of the administration.

The Provost and Vice President for Academic Affairs, who is directly responsible to the President, serves as the head of the Division of Academic Affairs with the authority to recommend research policy on a campus-wide basis and to advise the President on grants, contracts, and sponsored projects policy-related matters at the University.

1.2 Office of Sponsored Programs (OSP)

1.2.1 Overview of the Office of Sponsored Programs

Principal administration of grants, contracts, and sponsored programs is vested with the Office of Sponsored Programs. This office will be hereafter referred to in the Manual as the OSP.

The OSP was developed to assist potential Principal Investigators/Project Directors in the preparation and submission of research and project proposals and in the administration of research and program grants, contracts, and sponsored agreements.

1.2.2 Organizational Structure

The OSP is administratively located under the auspices of the Provost and Vice President for Academic Affairs. The office is an integral part of the FVSU University System, and its functions are consistent with the institution's mission, goals, objectives, and priorities. The OSP is a component of the University's infrastructure that is provided to assist in securing and managing grants and contracts. Please see organizational chart located in the Appendix.

1.2.3 Major Functions

The basic function of the OSP is to serve as the primary support unit for grants, contracts and sponsored programs at FVSU. Accordingly, the unit works closely with academic units and other administrative divisions on academic matters related to sponsored programs, as well as with the appropriate financial staff on fiscal matters.

The OSP interprets policies and establishes appropriate procedures to ensure that all proposal submissions and award activities related thereto comply with regulations and policies of the University, the State of Georgia, and the funding agencies. In addition, the OSP is responsible for identifying potential funding sources and communicating such information to faculty and staff. The unit maintains contact with potential sponsors and arranges appointments with entities as requested by the faculty and staff. The OSP is responsible for ensuring that proposals conform to agency requirements, that the proposed financial arrangements are correct and consistent with the University's requirements, and that special commitments have received internal review and endorsement. Since this unit is the center of grants and contract administration, it functions as the liaison between funding agencies, faculty and staff members, and other campus offices on grants, contracts and sponsored program related matters.

In addition to assisting the faculty and staff in acquiring resources to enhance their professional growth and academic excellence, and that of their students, the OSP has the responsibility of informing the University community of its success in the research and development arenas. Through a biannual newsletter (The QUEST) and regular workshops, faculty and staff members and the community are informed of grant and contract updates, potential funding sources, and training opportunities.

The OSP also assists faculty and staff with proposal development. The office provides

- background information on the University and the community,
- editorial assistance,
- interpretation of policy and compliance,
- budgetary preparation assistance and clearance,
- technical assistance,
- general advice on strategies that might maximize the competitiveness or effectiveness of the application effort, and
- acquisition of final internal review and institutional approval before submission.

The OSP is the shared service for ALL proposals that involve a restricted grant or contract to the university by a sponsoring agency. Unrestricted gifts fall under the FVSU Foundation, Inc.

1.3 Policies of the University Affecting Grants, Contracts, and Sponsored Programs

1.3.1 Special Provisions

Whereas responsibility for the quality of research and other sponsored activities at the University rests with the faculty, the University accepts responsibility for negotiating awards and for accepting awards that are made pursuant to such negotiations. The University imposes a requirement of a formal review and approval of proposals that are prepared for submission to external funding agencies.

Notwithstanding the requirement of formal review and approval of research proposals, the University imposes no limitation on the freedom of the faculty in the choice of fields of inquiry or the media of public dissemination of the results obtained. Research results, unlike research proposals, are not subject to the requirement of formal review and approval. The University's requirements for formal review and approval of research proposals are not to be construed as restrictions on academic freedom, but rather are deemed necessary in the interest of efficient research planning and administration.

1.3.2 Patents or Copyrights

When developed under sponsored research programs, titles to patents and copyrights will remain with the University. Incumbent employees and those to be appointed, including faculty, are required to sign an Invention Disclosure Form. The Invention Disclosure Form and instructions are available in the Office of Sponsored Programs, the Appendix and at <https://www.fvsu.edu/wp-content/uploads/2018/08/Intellectual-Property-form-8162018.pdf>

1.3.3 Special Obligations

Special care should be taken to avoid legal and moral obligations that could continue beyond the life of the agreement or the tenure of the investigator. No extra-contractual obligations to the sponsor should be required of the University or the investigator.

1.4 Assurances and Certifications

1.4.1 Standard Federal Assurances

Specific standard assurances are required by many federal funding agencies. In signing and submitting a proposal, the Provost and Vice President for Academic Affairs and the Office of Sponsored Programs must certify Fort Valley State University's compliance with federal requirements regarding lobbying, debarment, suspension, and other responsibility matters, and drug free workplace provisions. Most often, sponsors supply the institutional certification and assurance forms required as a part of the application package.

1.4.2 Lobbying (required since 1989)

Public Law 101121 states that applicants for federal funding must certify that no federally appropriated funds have been paid or will be paid by, or on behalf of, the person signing the assurance to any person for influencing, or attempting to influence, an officer or an employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract or grant; the making of any federal loans; the entering into of a cooperative agreement; and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. Further, the certification provides that if any funds other than federally appropriated funds have been paid or will be paid for the services mentioned above, the PI shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. This certification is a pre-award requirement. Appropriate forms should be a part of the application package or may be secured from OSP.

1.4.3 Conflict of Interest

A potential conflict of interest occurs when there is a divergence between an individual's private financial interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are influenced by considerations of personal financial gain, in other words, the researcher's ability to be objective. In keeping with federal mandates from the National Institutes of Health (NIH), National Science Foundation (NSF), and other government agencies, universities are required to set formal procedures to safeguard the objectivity of all sponsored programs. Institutions must certify, with each grant application, that they have written guidelines to manage, reduce, or eliminate any financial conflicts of interest that could bias a sponsored program. OSP requires that all PI's and any other personnel involved in the design, conduct, or reporting of research supported by an external sponsor, disclose significant financial or personal interests that may present conflicts of interest in relationship with a sponsored program.

Federal regulations, 42 C.F.R. Part 50, Subpart F, and 45 C.F.R. Part 94 require all federally funded and human subjects investigators to report outside financial activities (and those of their immediate family members) that are related to their institutional responsibilities, and also require the institution to review and potentially manage these activities. According to the federal Financial Conflict of Interest (FCOI) regulations, significant financial interest includes the following interests of an investigator (and/or his or her immediate family) or a business entity controlled or directed by the investigator or a member of his or her immediate family:

- Remuneration (i.e. salary, consulting fees, honoraria, paid authorships, etc.) received from a publicly-traded entity in the twelve months preceding disclosure, and the value of any equity interest (stocks, stock options, or other ownership interests) in the entity at the date of disclosure that, when aggregated, exceed \$5,000.
- Remuneration, (salary, consulting fees, honoraria, paid authorship, etc.) received from a non-publicly traded entity of greater than \$5,000 in the twelve months preceding the disclosure.
- Any equity interest (i.e. stocks, stock options, or other ownership interests) in a non-publicly traded entity.
- Royalty income from intellectual property rights that are not assigned to organizations created to manage such rights on behalf of FVSU.
- Reimbursed or sponsored travel related to institutional responsibilities that is not reimbursed or sponsored by a government agency.
- Service in positions with fiduciary responsibility, including senior managers (e.g. presidents, vice presidents, etc.) and members of boards of directors, whether or not the investigator receives compensation for such service.

1.4.4 Civil Rights, Disabled Individuals, Age, and Sex Discrimination

FVSU must provide assurance of compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, and the Age

Discrimination Act of 1975. FVSU assures that it will prohibit discrimination on the basis of race, color, national origin, disability, sex, and age in programs or activities receiving federal financial assistance. The institution agrees that compliance with this assurance constitutes a condition of continued receipt of assistance, and that it is binding upon the applicants, their successors, transferees, and assignees for the period during which such assistance is provided. Furthermore, the University assures that all contractors, subcontractors, sub-grantees or others with whom it arranges to provide services or benefits to its students or employees in connection with its education programs or activities do not discriminate against students or employees, which would be a violation of the above statutes, regulations, guidelines, and standards. The University has on file, with all of the federal agencies, a copy of its compliance with the Civil Rights Act of 1964 and relevant amendments.

1.4.5 Drug Free Workplace

All grants or contracts made by a federal agency after March 18, 1989, require that applicant organizations assure the federal government that work on these projects will occur in a drug free work place. As part of the certification process, Fort Valley State University, as required by law, has developed a drug free workplace policy which applies to all personnel engaged in the performance of a grant or contract funded with money from a federal agency. The policy also applies to undergraduate students and graduate students paid from funds acquired directly from a federal agency.

The policy states in part that

- the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the workplace;
- as a condition of employment, employees must abide by the terms of the statement; and,
- any employees convicted of a drug violation occurring in the workplace is required to notify their immediate supervisor(s) no later than five days after the conviction.

The policy outlines the sanctions which may be taken if an employee violates the policy.

Such sanctions may include termination of employment, satisfactory completion of a rehabilitation program, or suspension. Employees paid from funds granted from the U.S. Department of Defense (DOD) are subject to the requirements of the more comprehensive regulations of the DOD Drug Free Workforce Rule of 1988. This rule prohibits the use of controlled substances both on and off duty. Fort Valley State University's Drug Free Workplace and Workforce Policy is found in the FVSU Employee Handbook available from the Department of Human Resources.

1.4.6 Debarment and Suspension

Certification regarding debarment, suspension, and other responsibility matters is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 C.F.R. Part 85, Section 85.510, Participants' Responsibilities. The prospective participants certify to the best of their knowledge and belief, that their principals are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; have not been convicted of or had a civil judgment rendered against them for fraud or a criminal offense in connection with obtaining or performing a public transaction; are not presently indicted for or otherwise criminally or civilly charged by a government entity; and have not had one or more public transactions terminated for cause or default within a three-year period preceding the application/proposal.

1.4.7 Institutional Review Board (IRB)

The University has established an Institutional Review Board to protect from risks associated with research. The IRB responds to 1) regulatory compliance regarding the use of human beings as research subjects, 2) the humane care and use of animals in research projects, and 3) research involving biohazardous materials and public safety. All research involving human subjects, whether or not supported by external funding, must be reviewed and approved by the FVSU IRB.

The University has established responses to regulatory compliance regarding the use of human beings as research subjects, use of animals as research subjects, research involving biohazard materials, and public health and safety.

1.5 Regulatory Compliance

FVSU has a system in place which assists in complying with federal, state, and local government regulations and with the requirements of nonfederal sponsors. The institution has established a series of committees including the Internal Review Board comprised of faculty and staff members. The chairperson of this committee reports to the Provost and Vice President for Academic Affairs. Subcommittees are also in place for Animal Care and Use, Recombinant DNA, Biohazard Safety and Protection of Human Subjects in Research.

1.5.1 Use of Humans as Research Subjects

The University has submitted to the U.S. Department of Health and Human Services (DHHS) written assurance that it would comply with the agency's policy for human protection in research as required by the June 1971 DHHS Institutional Guide. The assurance statement provides for the protection of human subjects participating in activities supported directly or indirectly by grants or contracts from DHHS. In addition, it stipulates the mechanism by which such protection shall be guaranteed with regard to the rights and welfare of subjects, the risks versus benefits to subjects, and the privilege of informed consent. Questionnaire and survey type instruments fall within the purview of human subject research.

A University wide subcommittee on human research, the Human Subjects Subcommittee, has the responsibility of policy interpretation, review, approval, requiring modification to secure approval, or disapproval of research activities, surveillance, and monitoring of all human subjects research at the University. The committee protects the rights, wellbeing, and personal privacy of human subjects in research. All research involving human subjects, whether or not it is

supported by external funding, must be reviewed and approved by the FVSU Institutional Review Board (IRB). IRB approval is required by the Code of Federal Regulations.

1.5.2 Use of Animals as Research Subjects

Fort Valley State University has filed the proper assurance that delineates the University's responsibility for compliance with Public Health Service guidelines for all PHS supported and other research activities involving live vertebrate animal subjects. The Agricultural & Laboratory Care & Use Committee in its role as an oversight body determines the most humane, efficient, effective, and legal use of live vertebrate animals in research especially those that are covered by state and federal regulations. The subcommittee of faculty and community persons has the responsibility of reviewing, approving, requiring modifications if needed, or disapproving activities involving animals used in research.

Proposals involving animal subjects are submitted to the chairperson of the University's Internal Review Board. The chairperson will convene the Animal Welfare Subcommittee to review the submission and to indicate its final disposition. The PI/PD must allow five working days from the time of submission for the committee to complete this review process.

1.5.3 Research Involving Biohazardous Materials, and Recombinant Deoxyribose Nuclear Acid (DNA)

The University abides by the guidelines set forth for recombinant DNA research as stated in the Federal Register of December 22, 1978, Section IV, A through D, F, and G. These sections provide the policy that governs the Institutional Biosafety Subcommittees, the general applicability of the guidelines, the general definitions to be used, the responsibilities of the institution and the voluntary registration and certification as well as disclosure of information and compliance required of the institution. The University has established a Recombinant DNA Subcommittee that monitors the recombinant DNA research activities.

The Biohazard Safety Subcommittee and the Recombinant DNA Subcommittee have been established to identify, classify and control, and dispose of biological hazards associated with research and recombinant DNA. These subcommittees have been formed to establish procedure for reviewing grant and contract proposals prior to submission to an external agency including those involving recombinant DNA and/or use of or exposure to potential biohazards. Proposals involving recombinant DNA are submitted to the chairperson of the DNA Recombinant Subcommittee and those involving other biohazards are submitted to the chairperson of the Biohazard Safety Committee for review. The chairpersons will convene the committees to review the submissions and indicate the final disposition on the proposal routing sheet. The PI/PD must allow five working days from the time of submission for the committee to complete this review process.

1.5.4 Public Health and Safety

FVSU is committed to provide a safe and healthy environment for its employees and students. The University ensures that regulations pertaining to compliance requirements for health and safety standards in the workplace are enforced, including compliance with the Occupational Safety and Health Association (OSHA) regulations. A safety officer ensures that the University is protected from toxic and nuisance substances, flammable materials, and fire. In addition, the officer ensures that all sources of ionizing radiation, (including biohazard radiation and radioactive materials) at the University are used safely and in a manner which complies with applicable federal and state regulations.

1.5.5 New Federal Uniform Guidance

Effective December 26, 2014, Uniform Guidance was issued and supersedes requirements from the Office of Management and Budget (OMB) Circulars A21, A87, A110, and A122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230); Circulars A89, A102, and A133 and the guidance

in Circular A50 on Single Audit Act follow-up. See final guidance for more information on implementation.

1.6 Sponsored Research Standing Committee

1.6.1 Committee Objective

The Sponsored Research Standing Committee objective is to serve as a peer review board that recommends best practices and resolutions to the Office of Sponsored Programs in external funding (grant) matters requiring adjudication. This is to be conducted in an equitable manner to ensure fairness to all parties while upholding the interests, policies, and procedures of Fort Valley State University and the funding agency.

2 | PRE-AWARDS ADMINISTRATION

2.1 Proposal Routing

All proposals that seek sponsored funding on behalf of the university must be submitted to the Office of Sponsored Programs (OSP). In order to assist faculty and staff in expeditiously reviewing proposals, completed proposals (with required signatures) should be submitted to the OSP at least ten working days prior to the closing date. This amount of time is required for the OSP staff to review the proposal's content, context, budget(s), research risk compliance, and compliance with departmental, college, university, state, and federal policies and regulations.

2.1.1 Intellectual Property

All proposals written by faculty, staff, and contracted third-parties on behalf of Fort Valley State University are the intellectual property of the University. Intellectual property (IP) consists of the legal property rights over creations of the mind, whether project or research property, that results from original creative thought such as patents, copyright material, and trademarks, on behalf of FVSU. Such property shall remain the property of University unless otherwise stated in writing. For additional information see Appendix or <https://www.fvsu.edu/wp-content/uploads/2018/08/Intellectual-Property-form-8162018.pdf>.

2.2 Proposal Processing Procedures

2.2.1 Proposal Processing

The Fort Valley State University OSP Notice of Intent to Submit and Proposal Submission Form documents the understanding among the PI/PD and his/her Department chair, Dean, OSP, and University officials of the expected allocation of institutional resources, as well as, the terms and conditions of the anticipated grant/contract award. It is the responsibility of the PI/PD to ensure that all entries on the FVSU OSP Notice of Intent to Submit and Proposal Submission Form are

complete and accurate, including the appropriate signatures of the Principal Investigator, Department Head and Dean.

A. Notice of Intent to Submit Form

All faculty and staff intending to pursue external funding opportunities are required to complete the Notice of Intent to Submit Form (see Appendix) and submit an electronic or hard copy to the OSP Pre-Awards Office, at least 15 business days before the proposal submission due date.

B. Proposal Submission Form

All fields on the front of the form should be completed and the proposed Principal Investigator/ Project Director (PI/PD) must obtain the Department Head's and College Dean's signed approval. Proposals should be submitted to the Pre-Awards Office at least 10 business days before the funders submission due date. This amount of time is required for the OSP staff to adequately review the proposal's content/context, budget(s), and research risk compliance, as well as compliance with departmental, college, university, state, and federal policies and regulations.

Upon review of the submitted proposal, OSP routes proposals to secure approval by the Director of Sponsored Programs, the Provost and Vice President for Academic Affairs, and the Vice President for Business and Finance. Only proposals that require a signature from the President's Office, or the President's authorized representative will be routed to the Office of the President. The President's signature may supersede any/all of the previous signatories (see Appendix). See proposal submission guidelines for renewal projects under section 6.3.5.

2.2.1.2 Proposals Submitted to OSP Include

1. a complete and signed Proposal Submission Form as the cover page ,
2. the request for proposal (RFP) or request for application (RFA) document,
3. completed application,

4. abstract,
5. budget(s),
6. budget narrative or justification,
7. all of the attachments and appendices,
8. copy of complete proposal, hard or electronic, in word or printed form Grants.gov, Fastlane or the online system required by the funding agency.

Please review your submission information including grammar, punctuation, and spelling prior to submitting the package to OSP for processing.

2.2.2 Sub-Award Proposals

When a sub-award proposal is requested by an external institution/organization, the FVSU faculty or staff member shall develop an internal proposal detailing the planned activities, budget, and budget justification and shall route this proposal through the established Institutional Proposal Submission Procedures. Once Institutional approval has been secured, the PI will then proceed with the submission of the subaward documents to the Prime Submitting Agent.

2.2.3 Non-Sponsored Contracts

All contracts relating to activities underwritten by non-sponsored funds shall be routed through the respective faculty or staff member's department.

2.3 Unofficial Proposals

Any proposal not submitted as stipulated in the Policy and Procedures Manual of the Office of Sponsored Programs will be subject to forfeiture. The PI/PD should ensure that every effort is made to follow the stated guidelines. Proposals submitted without the proper University authorization may not be signed after the fact, even if funding is later awarded. Fort Valley State University reserves the right to decline funding if the university guidelines are not met by the PI/PD.

2.4 Guidelines for Basic Proposal Development

2.4.1 Proposal Components

Funding agencies' application guidelines usually provide the framework for the sequence and content of the proposal. While the format will vary from one agency to another, a sponsor usually requests certain basic components. These basic components include (1) project summary, (2) project narrative, (3) introduction/review of literature, (4) needs statement/statement of problem, (5) objectives, (6) plan of action/methodology, (7) personnel, (8) facilities and resources, (9) time-frame, (10) evaluation, (11) publication/dissemination, (12) appendices, (13) budget and budget justification, (14) vitae/bibliographic sketches, (15) bibliographic references, (16) current and pending support, (17) letters of endorsement, and (18) collaborative/sub-award information.

2.4.2 Project Summary

The proposal must contain a summary of the proposed activity suitable for publication, usually not more than one page in length. It should not be an abstract of the proposal, but rather a self-contained description of the project/program activities. The summary should be written in third person and include a statement of objectives, methods of implementation, and the potential impact or significance of the proposed activity to the advancement of knowledge or education. It should be informative to other persons working in the same or related fields and understandable to a scientifically or technically literate lay reader. Reviewers will probably read this section first to gain an overview of the proposed project. Interest is often captured at this point if the summary is written in clear and concise terms or lost if it is not.

2.4.3 Project Description or Narrative

The project description or narrative is a detailed statement of the work to be undertaken. Overall, it should discuss potential advances that are expected as a result of the proposed activity and the specific contributions the proposed work will make toward expanding or developing the

knowledge or technology base. It is the basis for determining the merit of the proposal and may include several components depending on application guidelines.

2.4.4 Introduction or Background Information/Review of Literature

The introduction or background information/review of literature provides a limited explanation of the proposed activity, the theory or rationale behind it, and the efforts that have been devoted to it in the past or typical kinds of explanations. This section must demonstrate to the reader or reviewer that the applicant has a familiarity with current thinking on the topic and awareness of how the proposed project relates to present trends.

2.4.5 Need Statement/Statement of Problem

The need statement explains why the program, services, or research is needed at this time, at the University or for a particular population. The sponsoring agency must be convinced that there is a measurable or verifiable need for the activities described in the proposal.

2.4.6 Objective(s)

The objectives furnish the purpose, aim, or goal(s) of the project. In establishing this section, it is essential that project planners are specific in describing their objectives. Objectives should be measurable within the time frame of the award, implementation, and reporting.

2.4.7 Plan of Action or Methodology

The methodologies employed must be carefully detailed. The proposal writers may include in this section a description of their preliminary work completed on the proposal activity. Grant reviewers are especially concerned about the relevance of each plan or methodology to the objectives of the project and the familiarity of the writer with the proposed plan of action.

2.4.8 Personnel

The personnel section of the proposal should convince the reviewers that the project team members have the expertise to conduct the proposed activities. The PI/PD of a sponsored project

must be a full-time member of the faculty or staff. Brief descriptions of team members should be prepared, indicating professional experience and how they will contribute to the project. In addition, the percentage of time each team member will allocate to the project should be indicated at the time the proposal is submitted to the OSP for review.

2.4.9 Facilities and Resources

The emphasis in this section should be on the institutional facilities and resources that are beneficial to the success of the project. Facilities and resources such as media rooms, libraries, special service units, research apparatus, laboratories, conference rooms, media equipment, computer technology, collaborations, and partnership(s) may be described in such a proposal. The information provided is used by reviewers to assess the adequacy of the institutional facilities and resources available for performance of the work proposed in the Project Description Section.

2.4.10 Project/Program Time-Frame

The timeline should specify dates for the inception and completion of all activities or tasks and their sequence and interdependence. The ability to stay on schedule is one of the most important aspects of project management.

2.4.11 Evaluation (a plan to evaluate the performance of the project)

A very important part of a project is a well-designed plan for evaluation. All funding agencies highly stress the importance of a proper assessment of the achievement of project goals and objectives. Evaluation can be formative (process) and/or summative (product). A formative evaluation aims to determine if the project is on track for the planned outcomes. Results of a formative evaluation are immediately implemented in order to achieve the overall planned project goals. A summative evaluation measures program attainments, including the outcome of the project and the achievement of goals.

2.4.12 Publication or Dissemination

To be useful, research results must be disseminated. This section of the proposal should describe who would be informed of project results, which results will be reported, and in what form the results will be disseminated. This section also addresses the overall value to all stakeholders of publishing/disseminating the project/program results.

2.4.13 Appendices

These are additions of information or materials to support the proposal that are essential in strengthening the overall proposal. Carefully check the sponsoring agent's guidelines and/or contact the program director to determine what is allowed as appendices. The Proposal Preparation Guidelines will detail what documents, if any, can be included in the appendices.

2.4.14 Vitae or Bibliographic Sketches

Well designed and up-to-date resumes are required for all senior personnel, major users, and technical personnel listed in the proposal. Each resume/vitae (usually two pages) should include information on the individual's (a) education, (b) research experiences, (c) special skills or abilities, (d) usually up to five publications or presentations most relevant to the work proposed, and (e) usually up to five other significant publications or presentations. This section allows reviewers to decide whether the listed personnel are capable of carrying out the proposed activity.

2.4.15 Bibliographical References

The bibliographical references are reference(s), listed in journal style, which are pertinent to the work described in the proposal.

2.4.16 Letters of Endorsement

Endorsements from key persons, such as the institution's president, executives of a company, laboratory, industry, or agency, and executives of any partnership or collaborations will send a positive message to the reviewers and demonstrate institutional commitment to the

project/program. The Office of Sponsored Programs can assist the PI/PD in securing a letter of support from the President's office. PI/PDs are urged to notify the OSP prior to submission of the proposal for review. All requests for institutional Letters of Support must be made to the Office of Sponsored Programs at the time the proposal is submitted to the Pre-Awards Office for review and approval, ten(10)business days before submission date.

2.4.17 Budget Page and Budget Justification

The budget section of the proposal should reflect the total cost of the proposed project and include a detailed itemization of all costs allocated to the project. This section should be prepared carefully, as mistakes could lead to (a) a poor score from reviewers and (b) an unacceptable liability to the University, possibly resulting in non-acceptance of a funding award.

The budget justification (which usually does not exceed three pages) should explain and justify each cost item, any unusual situations or inclusions, and the proposed institutional cost sharing if any. Each major budget item must be clearly justified or explained; make note from the application guidelines, which costs are allowable by the granting agency; and ascertain whether a budget requires approval by the OSP (cost sharing) and Vice President for Academic Affairs (release time and extra compensation). For specific FVSU information concerning budget preparation, see information on fringe benefits, indirect costs, and modified indirect cost. The PI must convince the reviewer that he or she is knowledgeable about the budget. Use a separate form (if supplied by the granting agency with detailed instructions) for each year of the project, for the cumulative budget, and for any subcontracts. The budget narrative/justification should follow the line items in the budget to minimize the reviewer's efforts to understand the information presented.

2.4.18 Matching Funds

Matching funds are financial commitments made by the University to implement the proposed program and can be In-Kind (goods or services) or Cash. These contributions can be derived from the Principal Investigator (PI), the University, or a third party (collaborative partnerships). The PI/PD can under no circumstances pledge a matching commitment on behalf of the University. All requests for matching funds must be made in writing to the OSP prior to the PI/PD developing the proposal. PI/PDs are discouraged from pursuing programs that require matching funds as these resources are not readily available to the university.

2.4.19 Release Time for Faculty

Release time is defined as that time during which an employee is released from normal work duties in order to engage on Project/Program related activities. During release time, the faculty member is encouraged to do research and/or educational development. The University will consider release time for faculty who wish to dedicate more than 15% of contractual University time to a proposed project/program. A Request for Release Time must be approved by the Department Head, Dean, and forwarded in writing to the Vice President of Academic Affairs for consideration and/or approval.

2.4.20 Plagiarism

Plagiarism is copying something without crediting the source. Plagiarism is considered theft. Plagiarism of work from within the University and outside, from any field, is prohibited. This includes proposals, journal articles, publications, and any other works that have been authored whether funded or not. Fort Valley State University will not recognize proposals that are a result of plagiarism or that contain plagiarized material.

2.5 Budget Guidelines

The budget (also called the cost or business proposal by some sponsors) is the Principal Investigator's best estimate of the total cost to execute the proposed project. It is important to

keep in mind that, upon submission of the proposal, the budget becomes a firm commitment on the part of the University to perform the proposed work at the proposed costs. The budget must reflect all of the activities included in the technical proposal and all anticipated costs needed to execute the activities.

The first step in preparing a proposal budget should always be to review the application materials and guidelines provided by the sponsor. Budget forms or formats provided by the sponsor should always be used. In addition to specifying a form or format, sponsor guidelines will also provide information concerning (a) limitations, if any, on funds which the sponsor will provide; (b) allow-ability of specific types of costs; (c) requirements for cost sharing or matching; and (d) any other special financial information.

Two distinctly different types of cost comprise the total cost of any sponsored program: direct costs and indirect costs.

Direct costs are costs that the University's accounting system can easily and accurately identify and charge to specific project activities. Direct costs include Salaries and Wages, Fringe Benefits, Supplies and Materials, Equipment, Travel, Student Stipends, and other costs directly attributable to the project activities.

Indirect costs are costs that are not directly accountable to a project activity (such as Facility, Administrative, Personnel, Security and Overhead costs).

Modified Total Direct costs are all Direct Salaries and Wages, applicable Fringe Benefits, Materials and Supplies, Services, Travel, and up to the first \$25,000 of each sub-award (regardless of the period of performance of the sub-awards under the award). MTDC excludes Equipment, Capital Expenditures, charges for Patient Care, Rental costs, Tuition Remission, Scholarships and Fellowships, Participant Support costs and the portion of each sub-award in excess of \$25,000.

Other items may only be excluded when necessary to avoid a serious inequity in the distribution of Indirect Costs, and with the approval of the cognizant agency for Indirect Costs.

2.5.1 Compensation

2.5.1.1 Compensation Salaries and Wages

Salaries and wages of faculty and staff are a direct cost of the proposed project and should be budgeted in proportion to the fraction of full-time effort each faculty and staff member will devote to the project. For example, if the Principal Investigator will devote 25% of his or her time to the proposed project, 25% of his or her salary should be included in the proposed budget. Included in this section of the budget should be all personnel who will work on the project, with the PI appearing first, then other senior personnel or research assistants. For each person or position, the following information should be included for each period: (1) the percentage of effort each will devote to the project, (2) the annual salary, and (3) the total salary support requested from the sponsor.

For contractual faculty, salary requests for the academic year and summer months should be listed separately. The respective Dean and the Vice President for Academic Affairs must approve faculty effort.

2.5.1.2 Salary Rates for Faculty and Staff

Charges for work performed on sponsored agreements by faculty members during the academic year will be based on the individual faculty member's regular compensation for the continuous period which, under the policy of the institution concerned, constitutes the basis of his or her salary. Charges for work performed on sponsored agreements during all or any portion of such period are allowable at the base salary rate. In no event will charges to sponsored agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary for that period. This principle applies to all members of the faculty at an institution. Since intra-university consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time base salary, the principle also applies to faculty members

who function as consultants or otherwise contribute to a sponsored agreement conducted by another faculty member of the same institution.

2.5.1.3 Extra Compensation

Grant projects are considered a part of academic responsibility and are incorporated into a faculty member's workload without extra compensation regardless of the time involved in undertaking the activity. Extra compensation is defined as income in excess of a faculty member's base salary*. However, there are some exceptions to this rule:

- A. Summer work conducted during the 12 weeks separate from the nine-month faculty contract with an approved PAN or
- B. As part of extraordinary conditions in which the PI must first demonstrate that
 - a. the PI has sought other ways to incorporate the grant duties into his/her current duties without extra compensation,
 - b. the grant work will be outside of one's department,
 - c. the grant work will be outside of regular contractual responsibilities,
 - d. the grant work will be performed at a remote location, and—most importantly—
 - e. the PI has secured full written approval to amend a faculty contract for extra compensation (secured from the Office of Academic Affairs).

*Base salary is the current annual salary of the employee as it appears in the appointment letter or subsequent notification of salary increase/decrease, plus any supplement that carries an anticipated duration of one calendar year or more.

2.5.1.4 NSF Summer Salaries

According to the NSF Grant Proposal Guide, “summer salaries for faculty on academic year appointments is limited to no more than two months of the academic year salary.” The limitation includes summer salary received from all NSF-funded grants (see Appendix).

2.5.2 Administrative and Clerical Salaries and Wages

According to UG 2 CFR § 200.413, the salaries of administrative and clerical staff should normally be treated as indirect Facilities and Administrative costs (F&A). Direct charging of these may be appropriate only if the clerical services are integral to the project, administrative individuals involved can be specifically identified with the project, such costs are explicitly included in the approved budget, or the PI has prior written approval from the cognizant grant officer, and the costs are not also recovered as Indirect costs. Applications for large center grants and programs that require extensive administrative support may allow clerical support subject to agency approval. This policy is also applied to non-federal applications to maintain consistency for audit purposes.

2.5.3 Employee Status

Any person named as personnel on a proposal must be an employee of the University (undergraduate and graduate students included). Please note the contract status of each faculty member included in the proposal (9 or 12 months).

2.5.4 Fringe Benefits

Faculty & Staff Salaries: Allow approximately 33% in fringes for full-time employees. Approximately 16% for summer employees. Students (summer employment and not enrolled in University) no charge. Students (academic year or summer enrolled in University) no charge. The fringe benefit rate of 33% is an average rate that represents the cost for normally charged fringe benefits. The average benefit is composed of several categories. If the sponsor requires that fringe benefits be budgeted using rates for each category, the University's approved individual rates for fringe benefits can be obtained from the Office of Sponsored Programs. As part of personnel salaries or wages, the Principal Investigator must budget 7.65% of the personnel salary or wage, for all non-full-time employees not receiving the 33% Fringe Benefits, including students, for the Federal Insurance Contributions Act (FICA) tax.

2.5.5 Equipment

Equipment is defined as the tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000. Only items that meet this definition should be listed on the “Equipment” line of budgets. Items costing less than \$5,000 should be listed in the “Supplies” category.

2.5.6 Materials and Supplies

Supplies is defined as all tangible personal property other than those described in Equipment. A computing device is a Supply if the acquisition cost is less than the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life. See also UG 2CFR §200.20 Computing Devices and UG 2CFR 200.33 Equipment. Supplies should be listed in the budget by type (i.e., Office Supplies, Laboratory Supplies, etc.) and include estimated costs.

2.5.7 Travel

Itemize the expenses for each person who will travel in conjunction with the responsibilities of the proposal. Each trip should be listed separately and include the (a) destination, duration and purpose of the trip, (b) persons traveling, (c) round trip coach airfare, (d) surface transportation charges, (e) per diem or actual hotel and meal costs as allowed by sponsor or the University, and (f) any other related expenses such as conference registration costs.

2.5.8 Consultant or Professional Services

The proposal budget may request costs for Professional and Consultant Services rendered by persons who are members of a particular profession, organization or possess a specific skill. Consultants are not officers or employees of the proposing organization. Consultant Services are allowable when reasonable in relation to the services rendered. Anticipated services (scope of

work) must be provided and include the expert's primary organization, normal daily compensation rate, and number of days of expected services. Consultant's travel costs, including subsistence, may be included. Additional information on the allowability of Consultant and Professional Services is available in UG 2 CFR § 200.459.

When consultants are utilized and are an employee of another University System of Georgia institution, the payment will have to be made to the other institution and will have to be from the joint staff account. This should be reviewed prior to the work being performed to ensure it is in compliance with the grant specifications. Please notify the Office of Sponsored Programs prior to appointing a consultant from a University System of Georgia institution.

2.5.9 Subcontractors

List the total for all subcontracts on a "Subcontract" budget line. Verify that the subcontractor's statement of work is included in the body of the proposal and that there is an appropriate budget. The subcontractor should prepare a detailed budget for each year and a cumulative budget using the subcontractor's fringe benefit and overhead rates. A copy of the subcontractor's negotiated Facilities & Administrative Rate Agreement should be forwarded to the Office of Sponsored Programs. An officially authorized representative who is contractually committing the organization should endorse the subcontractor's proposal. Some sponsors require that the subcontractor submit a letter of commitment stating a willingness to participate in the project in the event that it is funded.

2.5.10 Facilities and Administrative Costs (F&A)

The University negotiates new Facilities and Administrative (Indirect Cost) rate agreements with the federal government. The current negotiated Indirect Cost Rate is 13.64% off campus and 36% on campus. Facilities and Administrative costs (Indirect Costs) are incurred while providing facilities and support services to the University's Sponsored Programs. All proposals submitted

on behalf of Fort Valley State University must capture the above negotiated Indirect Cost in full unless the Request for Proposal (RFP) indicates a lower capped rate.

2.5.11 Restrictions on Assessment of Indirect Costs

Some funders will impose additional restrictions on the assessment of Indirect Costs to certain budget items. For example, the National Science Foundation (NSF) restricts the capture of Indirect Costs on Participant Support Costs. In the event of such restrictions, the Principal Investigator must adhere to the funder's guidelines by not capturing these unallowable Indirect Costs. The Office of Sponsored Programs Pre-Awards Office will review all outgoing proposals to ensure compliance in the assessment of Indirect Costs. The Indirect Cost Rates as of 07/01/2018 are applicable as follows:

36% (.36) for on campus programs

13.64% (.1364) for off campus programs

2.5.12 Continuation/Supplemental Proposals for Awarded Projects

The budgets for Continuation/Supplemental Proposals must be developed using the rate and base in effect at the time of the initial award. This rate is applicable for the life of the award, defined as the competitive segment, which is a period of years approved by the agency at the time of the award.

2.5.13 Budget Justification

- Provide a budget explanation for each of the proposed budget categories in the same order as listed in the budget;
- Document faculty release time to reflect the level of effort and the period for which faculty release time is requested;
- Provide the current base salary for all faculty; and

- Indicate summer salary on a separate line, not to exceed 33.33% of the faculty's base salary. The salary allocation must be proportional to time worked.

2.5.14 Consultants

Consultants are independent contractors engaged to provide essential services to a sponsored program, which cannot be provided by an employee. Generally, these services are provided either during a short period of time or intermittently throughout the project. However, the consultant's services are always provided without direct, day-to-day supervision by the Principal Investigator. Tax and labor laws make it essential that University employees not be classified and compensated as consultants or vice versa. (Also See 2.5.1.)

Designation of independent contractor status is governed by the Internal Revenue Service's Code of Common Law. The University may be subject to significant institutional tax penalties should the individual be incorrectly classified as an independent contractor. Federal sponsors also expect that consultants will be retained only when the needed services are short term and cannot be provided by an employee. The federal government requires selection of consultants through an open and objective process.

2.5.15 University Cost Sharing

The University may share in the cost of a sponsored program when there is a difference between the total cost of performing a project and the funding provided by the sponsor. The difference in cash or in-kind support is financed by the University. Cost sharing may be in either direct or F&A costs (Indirect Costs). Any form of cost sharing requires approval from the Office of Sponsored Programs and the Office of Business and Finance. Cost sharing should be proposed only when required by the sponsor, or strongly encouraged, and should not exceed the levels required by the sponsor. Voluntary cost sharing is not allowed.

2.5.16 Budget Revisions

There is considerable variation in sponsor policies relative to budget revisions. Accordingly, award terms and/or sponsor agency guidelines must be consulted when revisions are contemplated. To the extent possible, budget revisions should reflect all necessary reallocations of resources that are foreseen through the end of the budget period. Some budget revisions require the approval of the sponsoring agency. Therefore, all requests for budget revisions must be submitted to the OSP.

For budget revisions requiring prior sponsor approval, the PI/PD prepares the request and submits it to the OSP. The OSP will then forward the request letter to the sponsor, administrator or program officer as designated in the award. That letter will detail the revision and its justification. Upon approval by the sponsor, the budget revision will be initiated and the Contracts and Grants Office will be notified.

2.5.17 Cost Sharing/Matching

Fort Valley State University receives funding from Federal, State, Local, and Private funding agencies. One of the criteria for the awarding of funds from the various sources may include matching funds and/or cost sharing requirements. Cost sharing or matching is defined as the total project or program cost not borne by the federal government for federal programs or the awarding agency for all other programs.

The amount and types of cost sharing may vary among agencies and are generally classified as follows:

Cash Contributions – Cash contributions represent the recipient’s cash outlay, including the outlay of money awarded to the recipient by non-federal third parties.

In-Kind Contributions – In-kind contributions represent the value of non-cash contributions provided by the recipient and non-federal property purchased with federal

funds. In-kind contributions may be in the form of charges for real property and the value of goods and services directly benefiting and specifically identifiable to the project or program.

The PI/PD must document specific information relative to the source of funding and amount for matching contributions. This information must be submitted to the OSP and the appropriate accountant in the Grants and Contracts Office. The type of support will vary depending on the cost sharing type. This information should include the standard accounting forms for “Certification of Procurement Other Than Personnel” and “Certifications of In-Kind Contributions.”

Cost sharing/matching documentation and required certification forms must be submitted to the Comptroller’s Office monthly. Failure to submit the required documents and certifications may result in a temporary delay in spending on the grant or contract.

2.6 Library Acquisition Initiative

In an effort to enhance and sustain library acquisitions, the Office of Sponsored Programs, in collaboration with the Office of Academic Affairs, has initiated a library acquisition budget line request as part of the Proposal Submission Form completion process. This budget line request mandates that proposals submitted on behalf of Fort Valley State University must include a 3% assessment calculated into the budget, on all allowable proposals, effective February 2, 2009. The 3% is assessed by the Office of Sponsored Programs from the already captured Indirect Costs. No additional action is required by the Principal Investigator.

3 | POST-AWARDS ADMINISTRATION

3.1 Award Notification, Acceptance, and Spending Authorization Requirements

3.1.1 Notification of Funding/Notice of Award (NOA)

The Award Notice is the first step in the post-award grant management process. The award notice sets the parameters in which the research will be conducted. A written notification of award or acceptance of offer will be furnished to the Office of Sponsored Programs (OSP). The award notification will set forth all terms and conditions of the grant, agreement, or contract.

The terms and conditions should include the following information

- agency project identification number,
- award period,
- award amount,
- Principal Investigators,
- CFDA #, if applicable,
- FAIN #, if applicable,
- terms of acceptance,
- other applicable information whether listed or incorporated by reference, and
- authorized signature of the awarding agency.

Award documents should be transmitted to the OSP by the funding agency. In the event that the award document is received by the Principal Investigator/Project Director (PI/PD), it should be transmitted to the OSP (Post-Award Coordinator) immediately. Upon receipt of the award notification, the OSP will review the award to ensure that it complies with the original proposal. The office will then confer with the PI and other administrators to discuss and resolve any

discrepancies. The award letter is the key to starting the process of obtaining a PeopleSoft account, without which the PI can spend no funds.

3.1.2 Budget Negotiation and Proposal Modification

Occasionally, a funder will express interest in supporting a proposed project provided that certain changes be made. Any revisions to the performance of a project that require Institutional approval must be coordinated through and endorsed by OSP. In general, the following revisions require sponsor approval:

- changes in the budget (usually a reduction),
- addition, modification, or deletion of objectives (scope of work),
- change in performance period, and
- change in Principal Investigator.

The Principal Investigator should review the proposed revisions and determine whether the revised project would be in the best interest of the University. For instance, if a funder wishes to reduce the amount of a budget without a comparable reduction of objectives, the project will probably not be in the best interest of the University or the PI.

If the funder suggested changes can be made and the PI revises the overall proposal, the revised proposal should be transmitted through the usual process, with “revised” indicated on the Transmittal Sheet. In cases where only the budget is revised, the revision should be transmitted through the usual transmittal process, but with a Budget Revision Transmittal Sheet for OSP.

3.2 Award Review and Acceptance

An award to FVSU from a sponsoring agency serves as a legal document obligating the University to a contractual commitment. Awards may be in the form of a letter or check issued by an authorized agent of the sponsor, a grant Notification of Award (NOA), or a complete contractual document. In some cases, acceptance by the grantee (and then by the agency) is

required before the award is valid. In other cases, no formal acceptance is required. When required, the University's authorized institutional official, the Provost and Vice President for Academic Affairs or designee, is responsible for signing these documents and thereby legally binding the University to the terms and conditions of the grant or contractual document.

PLEASE NOTE: PI/PD, Department Chairpersons, and Deans are not authorized to sign award documents on behalf of FVSU. All original official award documents, if received by the PI/PD, should be forwarded immediately to OSP for processing. OSP will consult with the PI/PD if the award differs from the submitted proposal so that the award may be accepted, modified through negotiation with the sponsor, or rejected. To protect the PI/PD and the University, expenditures should not be incurred against a sponsored project until the OSP has received and processed the original award notification from the sponsor and a project account number has been assigned.

When the OSP receives notification that an award has been made, the PI/PD is then asked to review the award document. The PI/PD must be aware of all terms and conditions of the award document. The PI/PD signifies acceptance of the award by returning the accompanying Notice of Award memo to the OSP.

While the PI/PD is reviewing the award document, the OSP conducts its own review of cited terms and conditions, including relevant regulations (e.g., Code of Federal Regulations [C.F.R.], Federal Acquisition Regulations [FAR], the new Uniform Guidance). The OSP determines if the award document complies with university policies and procedures and is acceptable to the University.

If both the PI/PD and the OSP find the award document acceptable, the OSP secures the signature of the Authorized Organization Representative (AOR). If/When the award document has also been signed by the sponsor, the document is considered to be fully executed and an account is established.

3.2.1 Post-Awards Conference

Upon receipt of notification and acceptance of the award, a post-awards conference will be held between first-time and/or inexperienced Principal Investigators/Program Directors and the OSP. The focus of the conference is to interpret the terms and conditions of the funded research award. The session will be conducted in OSP at a time mutually convenient for the Principal Investigator and Post-Awards Coordinator. The extent of the agenda will depend on the type of award and will provide, but is not limited to, the following information:

- guidelines for assignment of account number;
- assistance with budget amendment forms;
- fiscal accountability and compliance;
- required technical reporting, including contractually required reporting schedules; and
- procurement requirements, regulations, and procedures.

Upon completion of the Post-Awards Conference, a Post-Awards Conference Form should be signed by the PI/PD and the OSP. Additional Post-Awards Conferences may be scheduled at any time by the PI/PD or OSP.

3.2.2 Assignment of Account Number

Once the sponsored agreement has been executed by both the University and the sponsor, the OSP will transmit copies of the agreement and the proposal with an approved budget to the Grants and Contracts Office and request that an account number (budget code) is established for the project. In order to facilitate the assignment of an account number, the following documents must be included:

- proposal;
- all grant/contract procedures;

- specific terms and conditions, if applicable;
- the fully executed award/contract;
- all reporting and billing forms;
- the final negotiated and approved budget; and
- OSP transmittal email.

Upon review and approval of the documents, the Grants and Contracts Officer must receive a budget amendment from the PI or a designee. An account number is assigned and a notification email is sent to the Post-Awards Coordinator, PI/PD, PI's Department Head/ Dean, Provost and Vice President for Academic Affairs, Controller, Director of the OSP, Budget Office, Procurement Department, and the Payroll Office.

3.2.3 Internal Budget Amendment Form

This Internal Budget Form must be completed to begin spending on an account. The completed original budget form should be forwarded to OSP for further processing. (see Appendix). Regular University business procedures are used to document accountability for Sponsored Programs. The OSP uses the same account classification system assigned by the Office of Business and Finance.

Note: Effective January 30, 2019, there is a new chart of accounts table that can be found at <https://www.fvsu.edu/wp-content/uploads/2019/02/FVSU-Chart-of-Accounts.pdf>.

Please Note: Indirect Costs (F&A) have an assigned object code and all externally funded programs are responsible for it; however, that object code is not listed on the Budget Amendment Form.

The Post-Awards Coordinator is available for assistance with completing the budget form and to answer any questions.

3.2.4 Transfer of Funds

Transfer of funds from one object code to another for allowable expenditures is permitted at the discretion of the PI/PD, if required, to accomplish overall program objectives. Budget transfers, modifications and revisions are permissible if: (1) all restrictions and/or guidelines of funding agencies are adhered to and (2) requests are made and appropriate approvals received.

A Budget Amendment Form must be executed to effect any transfer of budgeted funds between object classes. (see Appendix).

3.2.5 Changes in Grant/Budget Period

The awarding agency delegate's authority to the University to commit and expend funds for allowable costs in support of the project, up to the amount specified in the award letter, at any time during the grant/budget period. The grant/budget period is the period of time between the effective date and the expiration date. The effective date of a grant or other agreement will not change unless the change is justified by exceptional circumstances. The expiration date may be changed as a result of approval of a request for (1) no-cost extension or (2) supplemental cost extension.

3.2.6 Sponsored Summer/Outreach Programs

All PI/PD's conducting outreach and/or summer programs on the FVSU campus must be present and available for the duration of the program.

3.2.7 No-Cost Extension

A no-cost time extension is a contractual action to extend the time authorized to complete a project without any increase in sponsor funding.

In general, sponsors view a no-cost extension as an admission of either poor planning, such as proposing or agreeing to an unrealistic schedule during contract negotiations, or poor performance in not completing the deliverables within the agreed time. However, when additional time is required, it is better to request a no-cost time extension than to simply be late

in completing the project. Requests for a no-cost extension should be submitted as soon as it becomes apparent that the project will not be completed on time. The sponsor may not approve requests that are not submitted in a timely manner or those that have not been adequately justified. It is recommended that the OSP review all extension requests.

The National Science Foundation requires that grantee requests for first-time, no-cost extensions be submitted via FastLane. The PI/PD (grantee) may exercise a one-time extension of the expiration date of the grant of up to 12 months if additional time beyond the established expiration date is required to assure completion of the original scope of work within the limit of funds already made available. Preferably 90 days prior to the expiration date specified in a grant, the grantee must submit a request electronically or via email to the Grants Officer. Funders notify the OSP upon receipt. This request must give reasons for the extension and revised expiration date to ensure accuracy of grant data. This one-time extension may not be exercised merely for the purpose of using the unliquidated balance.

3.3 Subcontracting Procedures

Implementation of some sponsored programs may require that a significant portion of the work be conducted by a person or persons not affiliated with Fort Valley State University. In such cases FVSU, when designated the official or prime recipient and fiscal agent of the grant or contract, issues a subcontract for the portion of work to be performed by the nonaffiliated party.

Subrecipients, including subcontractors and consultants, must be identified in the proposal budget to ensure that costs are calculated correctly and so that appropriate documentation can be included in the proposal. Sponsor approval is required prior to entering into a subcontract. If it is a vendor relationship, no sponsor approval is required unless specified in the award terms and conditions. Sponsor regulations that apply to the prime recipient of an award may also apply (or “flow down”) to any subcontractors and must be referenced in the subcontracts accordingly.

Federal regulations, including the New Federal Uniform Guidance, stipulate clauses that must be passed down to subcontractors. The prime recipient is responsible for ensuring that the

subcontractors are informed of and comply with these guidelines and regulations. Standard clauses in federal subcontracts include, but are not limited to, the following:

- audits,
- records and retention,
- certification of assurances, and
- 10% de minimis F&A rate.

The PI/PD should use the Request to Issue Subcontract under an Externally Funded Program form (located in the OSP) to request that a subcontract be issued. Information required on the form includes the subcontractor's technical and administrative representatives' contact information and documentation of the basis for the "sole sourcing" of the subcontract. This request, along with a statement of work and budget, should be submitted to the OSP.

3.3.1 Subrecipient–Statement of Work

Preparing the Statement of Work-The Statement of Work (SOW) is a document that lists and describes all essential and technical requirements for the effort to be performed, including standards to be used to determine whether the requirements have been met. This document may include the following items where appropriate:

- objective or purpose,
- period of performance,
- list of detailed work requirements,
- workload requirements,
- personnel requirements,
- resources (if any) to be furnished to the subcontractor, and
- reporting requirements/other deliverables.

Upon receipt of this request, the OSP assists the PI/PD in the development of the subcontract and ensures that the subcontractor has supplied appropriate financial information. This assistance ranges from designing subcontracts to reviewing proposed subcontracts to ensure compliance with sponsor guidelines. OSP staff works with the PI/PD and the proposed subcontractors to design and negotiate acceptable subcontract wording in keeping with sponsor guidelines and regulations and FVSU policies and procedures.

PI/PD and the OSP should document the basis for the “sole sourcing” of any subcontractor not named as a partner in a joint submission to the sponsor and considered a component of the approved project at the time of the award.

The OSP processes subcontracts and affixes the signature of the University’s authorizing official, the Provost and Vice President for Academic Affairs or designee, to approved subcontracts after they have been signed by the subcontractor and FVSU has received required documentation (e.g., audit certifications).

3.3.2 Subrecipient Monitoring

FVSU is responsible for ensuring that all subrecipients of its sponsored research awards are in compliance with applicable requirements in accordance with 2 CFR 200 Subpart D Subrecipient Monitoring and Management and Subpart F – Audit Requirements, when it is expected that the subrecipient’s federal awards expended during the respective fiscal year equal or exceed \$750,000 (2 CFR 200.501). These guidelines and procedures are provided to assist faculty and staff in ensuring that subrecipients conduct their portions of research projects in compliance with laws, regulations, terms and conditions of awards and sub-awards and that project costs incurred by subrecipients are reasonable and allowable.

Roles and Responsibilities

Principal Investigator (PI)

- The PI has primary responsibility for monitoring subrecipient’s technical and financial performance to ensure compliance with federal regulations and both prime and subrecipient award terms and conditions. The Federal Government places the primary responsibility for management of federally funded projects with the PI. This includes:
 - monitoring of subrecipient’s programmatic and financial activities related to the subaward and
 - review of technical/performance reports as required.
- The PI is responsible for verifying that the subrecipient work is conducted in a timely manner and that the results delivered are in line with the proposed statement of work.
- The PI is responsible for reviewing and approving subrecipient invoices. This includes reviewing expenditures to ensure the charges are allowable, allocable, reasonable, and within the period of performance.
- The PI is responsible for maintaining regular contact with the subrecipient.

Office of Sponsored Programs (OSP)

OSP is responsible for the oversight of subrecipient monitoring and ensures that the University’s subrecipient monitoring procedures are compatible with federal and other applicable regulations.

These responsibilities include:

- informing the subrecipient of the federal award information as required in Section 2 CFR 200.331 (e.g., CFDA title and number, award name, name of federal agency) and applicable compliance requirements, including any appropriate flow-down provisions from the prime agreement.
- making sure the use of subrecipient funds is well documented and the cost/price analysis performed is in accordance with applicable regulations,

- certifying whether or not the subrecipient or its PI's are debarred or suspended from receiving federal funds, and
- reviewing, on an annual basis, all active sub-awards for which monitoring is mandated. Therefore, OSP requests audit certification letters from all subrecipients expending \$750,000 or more in federal funds during the subrecipient's fiscal year.
- Appropriately the returned certification letters are reviewed by the OSP to verify that no audit findings related to federal funds provided by FVSU are reported. If no findings are indicated, the OSP stamps and indicates that no follow-up action is required. OSP will seek additional certification for those who require it and take appropriate action.
- Add more to the sub-award when appropriate in accordance with 2 CFR 200.207 to manage any risk posed by subrecipient.
- In accordance with FAR 52.2199(d)(9), for Subrecipients under Federal Contracts, when a subcontract is awarded to a subcontractor (other than a small business) and is in excess of \$650,000, OSP will obtain a Subcontracting Plan from the subcontractor.
- In accordance with FAR 52.21512, OSP will obtain from the subcontractor a Certificate Cost or Pricing Data on all subcontracts in excess of \$700,000 and issued under a federal contract.
- The above list does not include all compliance requirements. In addition to the general rules of compliance noted above, there may be additional sponsor or program specific requirements that mandate collecting and documenting other assurances (e.g. on lab animals, human subjects, biohazards, export controls, financial conflicts of interest, etc.) during the course of a project. OSP will work with PI's/PD's and Department Heads to establish channels of communication with subrecipients who need additional oversight.

3.4 Financial Management

3.4.1 Expenditure Approval

Fort Valley State University agrees to abide by the terms and conditions of an award upon acceptance of the grant. It is the responsibility of the Post-Awards Coordinator to confirm that the policies of FVSU as well as the regulations of the sponsor are followed. Expenditures must be monitored to ensure compliance with such policies.

The Office of Sponsored Programs will review all expenditure requests to help ensure allowable purchases at a reasonable cost allocable to the objectives of the project. All Personnel Action Notices (PAN), expenditure requests, including operational expenses, travel, and consultant contracts on sponsored projects will be forwarded to the Office of Sponsored Programs for review and approval by the Director of Sponsored Programs and the Provost and Vice President for Academic Affairs.

The PI/PD is provided with expenditure sheets reflecting monthly and cumulative expenditures and encumbrances on a state fiscal year basis (July 1-June 30), upon request.

The PI/PD is responsible for managing the budget and expending it in accordance with sponsor and university regulations on allowable, allocable, and attributable expenses related to the project, as indicated in the approved budget. The PI/PD must be familiar with and comply with both the sponsor's guidelines and the University guidelines for fiscal management of sponsored programs.

General guidelines for expending sponsored program funds are as follows:

- Costs must be allocable, bearing a direct relationship to the activities of the program, not to the general needs of the department or university.
- Costs must be reasonable, reflecting conscientious and prudent financial decision-making.

- Costs must be consistently treated, consistent with the normal cost standards of the university, and not exceeding normal limits of similar charges that are not grant supported.
- Costs must adhere to sponsor stated restrictions, recognizing and respecting any restrictions on use of funds stipulated by the sponsor.

The University is subject to an annual audit in accordance with New Federal Uniform Guidance. This audit conforms to specified federal guidelines and serves to certify the effectiveness of the financial management systems and internal procedures. Fiscal integrity of financial transactions is tested, as well as compliance with terms and conditions of federally sponsored activities. The annual audit involves a review of both institutional systems and selected individual program accounts. Financial records and internal oversight are also subject to review by internal audit.

3.5. Travel Procedures

3.5.1 Travel Overview

Approved travel is identified in the original grant application. The FVSU Procurement Office requires specific documentation of all travel funded by the grant. Two forms, the Travel Request and Travel Expense Statement, are to be used to provide the necessary documentation concerning travel as described in the approved budget. The PI/PD is responsible for authorizing travel within the activity with approval of the Post-Awards Coordinator.

Necessary and reasonable expenses for lodging and meals will be allowable and paid in accordance with existing State of Georgia approved per diem rates.

Air travel should be by coach class or the lowest fare available. International air travel should be informed by the Fly America Act. When a personal car is used, the employee will be reimbursed at the mileage rate approved by the Board of Regents. Mileage reimbursement cannot exceed comparable coach airfare to the destination.

Unallowable Expenses: Room service (except for meals), bar bills, long distance calls for personal business, and car rental (except under extenuating circumstances and with the prior approval of the Post-Awards Coordinator). Registration fees should be paid prior to travel to the sponsoring agency before any late fees are applied.

3.6. Personnel

3.6.1 University Employment Procedures

OSP regulations are specific on obligations of funds for personnel and in the documentation of time for persons paid from grant funds. Regular University personnel procedures and policies will be followed.

3.6.2 Personnel Practices and Policies

It is the responsibility of the PI/PD to control personnel expenditures within the limits of the budget for approved sponsored projects. In order to expend funds, the PI/PD must prepare the appropriate expenditure documents relative to personnel employment.

Persons working on sponsored projects or programs are subject to the same personnel policies and procedures that are in effect for employees hired through state funding sources. Reference materials, including the Faculty Handbook and the general Personnel Manual are available in Human Resources and in the office of the Departmental Deans and Chairpersons. No one shall be permitted to start work prior to the final approval of the appropriate Personnel Action Forms (PAN) (see Appendix). All persons employed on or through grants or other sponsored programs, whether fulltime or part-time, are temporary employees whose employment terminates automatically once the grant expires. Grant and other sponsored program employees, whether fulltime or part-time, who are employed on grants or sponsored programs with academic faculty rank are indeterminate. That is, academic faculty rank is for the life of the project only and terminates automatically once the project expires.

Procedures to be followed in hiring persons wholly or partially funded by the grant will be identical to those generally practiced at the University.

1. The same approvals are required as would be required in the hiring of persons supported by University funds.
2. The Provost and Vice President of Academic Affairs, or designee, should be consulted to ensure that the hiring of persons supported by grant funds is within the budget constraints of the project.
3. In order to be in compliance with University personnel policies and practices, contact the Human Resources Office.
 - a. The sample PAN (see Appendix) is used to pay tutors and temporary personnel. An original copy with photocopy duplicates may be obtained in the Office of Human Resources, Room 203, in the Troup Building.
 - b. The Provost and Vice President of Academic Affairs, or designee, should sign off on all Personnel Action Notices and EEOC information for hiring.

3.6.3 Time and Effort Reporting Regulations

The Office of Management and Budget New Federal Uniform Guidance requires that the University provide verification of time and effort for all grant and sponsored programs personnel whose salary is paid from multiple sources. The Time and Effort Report (see Appendix) provides documentation for salary payment and time donated to the activity by University personnel. Faculty/Staff with multiple assignments require a clear accounting of all (100%) employment time. To fully document all time spent in grant activities, all employees paid in part or in full by or volunteering time to sponsored projects must complete a Time & Effort Report. The Time & Effort Report will be due once per semester with the exception of Title III which will retain its quarterly reporting structure (see Appendix).

When an employee’s salary is divided among a federal grant, teaching, administration, and other responsibilities, there must be a clear accounting of all (100%) of the person’s time. The Activity Director is responsible for the accuracy of the Time and Effort Report.

This information is submitted to the Post-Awards Coordinator using the time table below.

Semester	Time and Effort Form Due	Time Period Covered
Fall	January 15	August 1-December 31
Spring	May 15	January 1-April 30
Summer	August 15	May 1-July 31

3.6.3.1 Students (i.e. Nonexempt Employees)

FVSU students (graduate assistants, student assistants, and work-study) for time and effort reporting purposes will be considered certified if the timesheet is signed/certified by the appropriate Department personnel and is submitted via the PeopleSoft system. This policy is supported by the new Federal Uniform Guidance.

“Where the institution uses time cards or other forms of after-the-fact payroll documents as original documentation for payroll and payroll charges, such documents shall qualify as records for this purpose” (J10b(2)(f)).

This policy is in accordance with the 2004 Department of Labor (DOL) Wage-Hour Administrator’s ruling that schools may continue to rely on the June 28, 1994, DOL Opinion Letter #1263 which states that research assistants performing research under the supervision of a faculty member in a research environment will be considered students rather than employees for purposes of the Fair Labor Standards Act (FLSA), even though the student receives a stipend for his or her services under the grant or contract.

3.6.4 Check-Out Procedures for Employees

Once an employee resigns, leaves the University, or is terminated, a separation procedure must be completed. All of the appropriate areas concerned with an employee separating from the University are listed on the separation form. The form must be completed and returned to the Human Resources Office. University officials who sign this form certify to the President that all responsibilities of the employee to the respective units have been completed.

3.6.5 Summer Contracts via External Funding

The policy as adopted by the University System of Georgia Board of Regents states that payment of compensation to faculty members for fulltime employment during the summer session shall be at a rate not to exceed 33 1/3% of their regular nine months compensation for the previous academic year. Total compensation for summer salary/contracts cannot exceed 33.3 percent of the faculty member's base academic year salary.

To ensure accuracy of computation, the following processes must be followed:

1. Complete a summer PAN, to include the proposed monthly charge;
2. Provide a copy of the fully executed PAN documenting your annual earnings;
3. Provide documentation of percentage/compensation allowable per grant source; and
4. If applicable, submit a copy of a fully executed budget amendment.

3.6.6 Nepotism Externally Funded

No individual may be employed in a department or unit when the employment will result in the existence of a subordinate-superior relationship between such individuals and any relatives of such individuals through any line of authority. As used herein, "line of authority" means authority extending vertically through one or more organizational levels of supervision or management. For the purpose of this policy, relatives include spouses, parents, children or grandchildren, siblings, cousins, nieces or nephews, and in-laws.

3.6.7 Research Ethics Policy

University faculty and staff are charged with ensuring that their own research as well as any undergraduate or masters student research performed under their supervision is ethically sound. In cases where research projects are subject to external approval, each FVSU Staff and Faculty member or Department is responsible for making sure that approval is obtained and/or is given per *University System of Georgia Ethics Policy 8.2.20.3 Statement of Core Values*. Every member of the University System of Georgia (USG) community is required to adhere to the USG Statement of Core Values – Integrity, Excellence, Accountability, and Respect – that inform and guide the daily work of the organization. FVSU faculty and staff must uphold the highest standards of intellectual honesty and integrity in the conduct of teaching, research, service, and grants administration. “Members of the USG community engaged in research are expected to do so in accordance with institutional, governmental, and professional standards while upholding the highest standards of integrity, intellectual honesty and scholarship. Unacceptable violations of research integrity include, but are not limited to: (a) plagiarism defined as using another’s ideas, writings, research, or intellectual property and representing it as your own original work; (b) falsification of data, which includes direct alteration of findings or failing to disclose data that would substantively change the research findings; and (c) fabrication of research data. Research integrity requires that principal investigators and others with a fiduciary obligation for grant funds use those funds in a manner consistent with the grantor’s terms and conditions and applicable laws, rules, and regulations. Finally, research involving human subjects shall be conducted only after appropriate review and approval by institutional review boards (IRBs) and should be conducted in accordance with IRB principles.”

4 | Title III Policies and Procedural Manual

4.1 How Title III Funds are Allocated to HBCUs

Funds are allocated by a formula, which is based upon the number of Pell Grant recipients at the institution, the number of students who graduated from the institution, and the number of graduates who have been admitted to and are in attendance in graduate or professional schools in a degree program of discipline in which Blacks are underrepresented.

The three formula element percentages are as follows:

- 50% – Number of Pell Grant recipients at your institution during the school year immediately preceding that fiscal year.
- 25% – Number of graduates of your institution during the school year immediately preceding that fiscal year.
- 25% – Number of graduates from your institution who, within five years of graduating with baccalaureate degrees, are in attendance at graduate or professional schools and enrolled in degree programs in disciplines in which Blacks are underrepresented.

4.2 Legislation, Regulation and Guidance

Legislation

- Title III, Part B, Sections 321-327 of the Higher Education Act, as amended (20 U.S.C. 1060-1063c)
- Title III, Part F, Section 371 of the Higher Education Act, as amended (20 U.S.C. 1067q)

Regulations

- 34 C.F.R. Part 608

A. Allowable Costs under 608.10:

The following list represents the activities allowable under the Title III–Part B Strengthening HBCUs Program:

- purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including for instruction or research;
- construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- support of faculty exchanges, faculty development, and faculty fellowships to assist these faculty members in attaining advanced degrees in their fields of instruction;
- academic instruction in disciplines in which Black Americans are underrepresented;
- purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- tutoring, counseling, and student service programs designed to improve academic success;
- funds and administrative management and acquisition of equipment for use in strengthening funds management;
- joint use of facilities, such as laboratories and libraries;
- establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;
- establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of the program, preparation for teacher certification;

- establishing community outreach programs that will encourage elementary and secondary students to develop the academic skills and interest to pursue postsecondary education; and,
- establishing or improving an endowment fund.
- acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities.
- education or financial information designed to improve financial literacy and economic literacy of students or the student's family, especially with regard to student indebtedness and student assistance programs under Title IV.
- services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than 2% of the grant amount may be used for this purpose.

The following list represents the activities allowable under the Title III–Part F (SAFRA)

Strengthening HBCUs Program:

- purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including for instruction and research.
- construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.
- academic instruction in disciplines in which Black Americans are underrepresented.
- purchase of library books, periodicals, and other educational materials, including telecommunications program material.

- establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification.
- other activities consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction, in the less commonly taught languages or international affairs, or nursing or allied health profession.

B. Unallowable Costs under 608.10:

A grantee may not carry out the following activities under this part:

- activities that are not included in the grantee's approved application;
- activities described in paragraph (a)(12) of this section that are not approved by the Secretary;
- activities that are inconsistent with any State plan of higher education that is applicable to the institution;
- activities that are inconsistent with a State plan for desegregation of higher education that is applicable to the institution;
- activities or services that relate to sectarian instruction or religious worship; and
- activities provided by a school or department of divinity. For the purpose of this section, a "school or department of divinity" means an institution, or a department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects.

- C. No award under this part may be used for telecommunications technology equipment, facilities, or services, if such equipment, facilities, or services are available pursuant to section 396(k) of the Communications Act of 1934.
- D. If a grantee uses part of its grant funds to establish or increase an endowment fund, it is subject to the provisions of §§628.3, 628.6, 628.10 and 628.41 **through 628.47 of this chapter of his chapter with regard to the use of those funds, except -**
- The definition of the term “endowment fund income” in §628.6 of this chapter does not apply. For the purposes of this paragraph (d), “endowment fund income” means an amount equal to the total value of the fund, including fund appreciation and retained interest and dividends, minus the endowment fund corpus;
 - Instead of the requirement in §628.10(a) of this chapter, the grantee institution must match each dollar of federal grant funds used to establish or increase an endowment fund with one dollar of non-federal funds; and
 - Instead of the requirements in §628.41(a)(3) through (a)(5) and the introductory text in §628.41(b) and §628.41(b)(2) and (b)(3) of this chapter, if a grantee institution decides to use any of its grant funds for endowment purposes, it must match those grant funds immediately with non-federal funds when it places those funds into its endowment fund.

(Authority: 20 U.S.C. 1062, 1063a, and 1069c)

[58 FR 38713, July 20, 1993, as amended at 65 FR 79311, Dec. 19, 2000]

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 81, 82, 84, 85, 86, 97, 98, and 99

Guidance

- Effective December 26, 2014, Uniform Guidance was issued and supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow up. See final guidance for more information on implementation.

4.3 Program Management

4.3.1 President

The Department of Education expects the President to be a visible and active participant in the implementation and operation of the grant. He should be aware at the initiation of the project and, subsequently, thereafter of the outcomes the project is supposed to achieve within the college. It is the job of the Title III Director to ensure that the president receives this knowledge. The President should give the project and its components sufficient organizational authority to ensure its success. In fact, regulations governing Title III require, “The grantee shall give its project director sufficient authority to conduct the project effectively” (Education Division General Administrative Regulations, Section 100A.510).

The President

- provides institutional leadership for the Title III grant;
- sets Title III Program priorities in keeping with institutional mission;
- approves and certifies Title III Phase I data;
- is final authority on selection of Title III activities submitted for funding; and
- ensures that institutional systems are in place for effective, efficient, and compliant grant administration.

4.3.2 Title III Director

The Title III Director will provide active leadership in the day-to-day functions of the Title III Administration Office and is primarily responsible for monitoring and approving all budget requests from Title III activity directors, internal and external program reviews, and for the annual submission of the continuing application to the United States Department of Education (DOE). Further, the Title III Director is responsible for the maintenance of an accurate and timely reporting system between the University and DOE, as it relates to program evaluations, reports, budget revisions, etc. The Title III Director reports under the general leadership to the Provost and Vice President for Academic Affairs; however, the Title III Director is ultimately responsible to the University President for compliance to Title III regulations.

The Title III Director

- works collaboratively with institutional leadership and Title III activity directors to oversee the development and submission of an FVSU comprehensive development plan that correlates with the University's Strategic Plan and evolves into the five-year Title III proposal;
- manages the Title III budget while demonstrating and maintaining accurate and current knowledge of U.S. Department of Education rules and regulations regarding Title III and FVSU internal budget procedures and also encouraging other resource acquisition efforts;
- monitors monthly grant expenditures to assure that grant activities stay on target and reviews and approves all Title III expenditures to assure that they are in compliance with the sponsored activities agreements.
- interacts collegially with the University staff to revise budgets for each year of the grant period and other technical reports required by the funding agency;
- prepares and submits necessary budget revisions to the funding agency;

- organizes Formative and Summative Evaluation Processes by providing insight to the external evaluator;
- conducts Title III Technical Assistance meetings to monitor project status and to ensure compliance; and
- attends and participates in annual program-specific association meetings to remain abreast of best practices and to identify opportunities to increase administration efficiencies and ensure compliance.

4.3.3 Title III Program Specialist

The Title III Program Specialist monitors budgetary functions to include travel and general requisitions and budget amendment forms to insure accurate accounting of budget and compliance; notifies Activity Directors of meetings, keeps meeting minutes and maintains meeting records; maintains records for monthly and annual reports and time and effort reports.

The Program Specialist

- for Special Projects, conducts internal equipment audits in order to create and manage a Title III Inventory Log and a log of all major items purchased with Title III funds, maintains inventory records until equipment is no longer needed to meet project objectives and maintains general office supply stock.
- for Report & Records Management and Fiscal Monitoring, assists with organization of activity assessments and evaluation processes; collects, monitors, and maintains files for Quarterly Progress Reports and Quarterly Time and Effort/Workload Certification Distribution Reports, travel reports, and supporting documentation records regarding the use of Title III grant funds; and monitors programmatic and budgetary functions to include Internal Budget Amendment Requests.

- generates and submits purchase requisitions for expenditures for the Title III Office and creates, manages, and maintains digital budget files for Title III activities.
- reconciles monthly budget expenditures for all Title III activities and follows up on problems when necessary.

4.3.4 Title III Activity Director

The Title III Activity Director provides activity management and budget monitoring and stays abreast of his or her respective activity objectives, grant regulations, and institutional policies.

The Activity Director

- ensures implementation of activity objectives in compliance with federal regulations and institutional policies.
- recommends hiring of activity faculty/staff.
- supervises and monitors activity faculty/staff.
- ensures completions and approvals of Quarterly Time and Effort Reports/Progress Reports for all activity faculty/staff.
- ensures timely submission of quarterly reports to the Director's Office.
- ensures all activity expenditures are related to an objective prior to submitting to the Title III Director's Office.
- maintains up-to-date Title III activity equipment inventory.
- attends Title III Activity Directors Technical Assistance meetings, orientations, etc.
- meets routinely with activity faculty/staff to ensure smooth and effective activity implementation.
- prepares and submits sponsored agreement activity to the Title III Office.
- maintains documentation files on activity/objective implementation.

- disseminates activity documentation records to the Title III Director.
- prepares for and participates in internal and external Title III activity evaluations, site reviews, etc.
- responds appropriately to evaluation recommendations to improve activity outcomes.
- prepares programmatic reports required by funding agency.

4.4 Personnel

4.4.1 Limited Term Staff

Title III regulations specify obligations of funds for personnel and documentation of time for persons paid from grant funds. The internal policy of the U.S. Department of Education (DOE) encourages grantees to limit amounts of salary and fringe expenditures to a maximum of 50% of the total annual Title III, Part B grant award. Nevertheless, procedures to be followed in hiring persons wholly or partially funded by the grant will be identical to those generally practiced at the University.

The Office of Title III must be consulted to ensure that the hiring of persons supported by grant funds is within the budget constraints of the activity. In order to comply with University personnel policies and practices, please contact the Office of Human Resources. A Personnel Action Notice (PAN) must be completed and approved prior to hiring and paying personnel. The same approvals are required as would be required in the hiring of persons supported by University funds. The Title III Director must sign off on all information pertaining to hiring Title III personnel.

4.5 Travel

4.5.1 International Travel

As a general rule, international travel may not be allowed under Title III; however, in rare cases, such travel may be approved on a case-by-case basis upon submission to the university's program

officer. The potential for international visibility for the University and faculty/staff member will be determining factors in the approval process. If approved, the international travel must meet the previously mentioned criteria regarding submission of a written plan, ability to justify the plan, and compliance with internal and external regulations.

4.6 Fiscal Management and Purchasing

4.6.1 Fiscal Control of Title III Funds

The University's Office of Business and Finance oversees the accounting management for all grants and contract funds. However, the fiscal and reporting policies of the U.S. Department of Education, through guidelines issued in the Education Department General Administrative Regulations (EDGAR) and rules in the Federal Registrar, require a more detailed management and record keeping system than usually practiced by operating units of the University. Federal regulations require a complete accounting of all federal and University time and resources that directly impact the grant's activities.

1. A copy of each project's budget must be transmitted from the Title III Office to the Office of Grants and Contracts, and to each Activity Director after formal notification of grant approval has been received.
2. The University reserves the right to freeze Title III funds in cases where funds are misused or abused and/or where sufficient evidence exists that program activities do not comply with the approved Grant Performance Report.
3. The ultimate approval for the use of funds that are not expended at the end of the fifth-year budget period must be authorized by the U.S. DOE for a no-cost extension.

4.7 Fiscal Accountability

4.7.1 Account Numbers

University business procedures are used to document accountability for Title III regulations. Separate account numbers are assigned by the Office of Grants and Contracts to identify the Title III grant activities.

All expenditures submitted to the Title III Director for payment must show the assigned account number and have the approval of the Activity Director.

4.7.2 Purchasing/Justification of All Purchases

All purchase requisitions must be justified based on the activity's goal before they are approved and processed by the Title III Office. This information must be included in the justification or comments section of the eProcurement purchase request.

Example:

An activity submits a purchase request. Upon entering the electronic purchase request via the PeopleSoft eProcurement Module, include your Title III justification in the justification or comments section. Identify the specific objective for which the item is to be purchased. This will ensure that the purchase is listed as part of the approved budget for the year.

1. The purchasing of supplies, services, and equipment must conform to those items listed in the Title III budget line item of the specific activity. All Title III purchase requests must include the assigned budget number.
2. All purchase requisitions using Title III funds must be approved by the appropriate Activity Director, Title III Director, and designated chief fiscal officers prior to the issuance of a purchase order.
3. If a purchase is made without the proper approval signatures, then the person(s) approving the purchase will assume liability for the purchase.

4. Established University procedures must be followed for ordering and receiving merchandise. All FVSU purchase requests must be verified and documented by the Activity Director, prior to submission to the Title III Director.

4.7.3 Payment of Expenses

Requests for payment of activity expenses will be forwarded for approval by the Title III Director when all required documentation and signatures are received electronically in the eProcurement system.

4.8 Budgets

4.8.1 Managing Activity Budgets

The Office of Grants and Contracts establishes the activity budget accounts, posts budgets, and amendment requests; monitors expenditures of all Title III funds; provides expenditure reports as requested; and provides the Title III Director with view only access to the University's General Ledger module (ORACLE's PeopleSoft Financial Management Solutions system). Via the General Ledger module, the Title III Director is able to access budget reports that provide more detailed expenditure and vendor data. This information is disseminated to the activity directors quarterly.

Although the Title III Director monitors the budgets for expenditures and ensures that they are posted to the correct line item account, this is also the Activity Director's responsibility. Digital copies of expenditure documentation (invoices, receipts, EDP Requests, contracts, etc.) must be included in the online eProcurement requisition. Additionally, Activity Directors must maintain their established digital filing format for their respective Title III activity.

4.8.2 Budget Modifications

Program revisions require prior approval from the United States Department of Education.

The following actions (New Federal Uniform Guidance) must receive prior approval:

1. revising the project objectives or scope of activity.
2. changing key personnel.
3. absence for more than three months, or a 25% reduction in time devoted to the project, by the approved project director.
4. need for additional federal funding.
5. transferring amounts budgeted for indirect costs to absorb increases in direct costs or vice versa.
6. inclusion, unless waived by the federal awarding agency, of costs that require prior approval in accordance with applicable federal regulations.
7. transfer of funds allotted for training allowances to other categories of expense.
8. transfer or contracting out of any work under an award unless described in the approved application. This does not apply to the purchase of supplies, material, equipment, or general support services.

4.8.3 Budget Revision Procedures

Activity budgets are carefully prepared to support the narrative of the Activity and no changes or substitutions can be made without prior approval of the Title III Director and, in some cases, the Department of Education, which is a lengthy process that is discouraged.

When completing the Budget Amendment form, a brief detailed reason for the changes requested must be included. The budget notes that appear in each Activity Budget Narrative were approved by the DOE. Provisions for transfer of 10% of the funds may be changed to any preapproved line terms. Therefore, line items not specifically preapproved must be resubmitted to the sponsoring agency for approval.

Within an activity, there is limited flexibility among some line items. The Activity Director must involve the Title III Director in decisions of this nature. However, it is important to note that additional items not approved in the grant cannot be purchased.

4.8.4 Budget Amendments Line Item Transfers

In some instances, it is necessary to transfer funds from one line item to another in order, within a specific year, to meet activity objectives. A written budget amendment request detailing the reason for the amendment must be submitted to the Title III Director for approval and processing. Requisitions are not to be submitted prior to the amendment being completed and approved.

4.8.5 Transfer of Funds Across Activities

Transfer of funds from one activity to another during a grant year is allowable without written authorization from the appropriate Federal Program Officer if line items are already approved. The Activity Director must involve the Title III Director in decisions of this nature.

4.8.6 Expending Carryover Funds

Historically, unexpended funds have been carried over from one project period to the next without approval for allowable costs that fall within the approved scope of the grant. However, there is no ongoing promise of carryover funds. Therefore, it is important that activity directors spend at least 1/12 of their budget each month.

In the event that carryover spending is approved, the Program Officer may require a written statement describing how unexpended funds will be used.

4.9 Supplanting vs. Supporting

Title III Grant funds may not supplant any service, program, or position which is supported by University resources prior to awarding of the federal grant.

Adequate records must be maintained to document accountability for any use of regular University staff in Title III Grants. The following information was taken directly from a Title III question and answer book produced by the U.S. Department of Education to grantees:

Can personnel who are currently paid with institutional funds be assigned to work on project activities and be paid with grant funds?

Yes, provided that budgeting such costs under the grant does not have the effect of supplanting (rather than supplementing) funds that otherwise would have been available for the activities being conducted under the grant. In no case, however, may grant funds be used to pay the salary of a first line administrator such as a President, Vice President for Academic Affairs, Dean, or the equivalent of these positions.

We understand the prohibition against supplanting as it relates to the payment of salaries of existing personnel to mean that

- federal funds may not be used as a replacement or substitute for salaries that the grantee otherwise would have paid, and
- a grantee may not utilize the funds it would have paid existing personnel (but who are now being paid under the grant) for purposes not related to the activities being conducted under the grant.

Each of these actions would have the effect of reducing, rather than increasing, the funds available for project activities and thus would violate the supplement, no supplant, provision.

This concept may be illustrated best through some examples.

Example A:

A grantee proposes to improve its science curriculum using computer-assisted instruction. The Director of the Learning Resource Center will be assigned to the project on a 50% basis to help the faculty identify and review commercial software.

The grantee's request to charge a portion of the Director's salary to the grant was denied because this position was created two years ago to manage a five-year process of integrating computer technology in academic programs. The grantee would have undertaken this initiative even if it had not received federal funds. Therefore, the grant may not be used to replace funds that otherwise would have been made available.

Example B:

A grantee proposes to develop a management information system (MIS) and the assistant to the Vice President for Administration will be assigned to design the system. The grantee requests 100% release time for the assistant whose salary will be charged to the grant. Other staff will absorb the assistant's regular responsibilities. The budget institutional funds for this position are used to increase the budget for student cultural activities.

In this example, the grantee is diverting existing funds from development of the MIS and any of the activities being conducted under the grant. This has the effect of reducing rather than supplementing available funds.

Determinations of supplanting can only be reached on a case-by-case basis after looking with some care at all the surrounding facts. However, we would advise grantees to be able to demonstrate, a minimum that

- existing personnel will be formally released from their normal responsibilities or the same percentage of time that is under the grant;
- the duties to be performed in connection with the project are substantively different from the duties ordinarily performed by existing personnel;
- the institution would not ordinarily pay existing personnel to perform duties that will be charged to the grant; and
- funds that become available to the institution by virtue of shifting personnel costs to the grant continue to be used for activities being carried out under the grant.

Of course, grantees also may use the replacement cost method to budget salary costs associated with existing personnel. With this method, the actual cost of hiring replacement personnel to perform the duties of existing staff who are released to work on project activities would be charged to the grant.

Grantees who were funded before FY 1987 may use the replacement cost method only because of the administrative policy in effect when these grants were initiated.

4.10 Evaluations

4.10.1 Program Evaluations

The Department of Education, General Administrative Regulations states, “Recipients shall monitor the performance of grant and subgrant supported activities. They shall review each program, function, or activity to assure that adequate progress is being made towards achieving the goals of the grant or subgrant.” Internal evaluation will be carried out through monitoring monthly reports, annual performance reports, Title III meetings, monthly budget reviews, and site visits. An independent external evaluator will evaluate the individual Title III activities. The external evaluator will conduct both a formative and summative evaluation. The evaluator will look at all aspects of grant activity including a comparison of actual accomplishments to the goals established for the period, documentation of activity progress in meeting measurable objectives, allowability of project expenditures, and the effect of the project in strengthening the overall operation of the university.

4.11 Title III Focus Areas

Title III–Part B of the Higher Education Act of 1965, as amended, authorizes the grant awards received by grantees be used to strengthen institutions in the areas of Academic Quality, Student Services and Outcomes, Fiscal Stability, and the quality of Institutional Management. A description of each of the evaluated focus areas follows.

Academic Quality

Train and develop faculty, develop curricula, improve developmental or basic skills courses, develop academic program(s), retain and recruit faculty, increase diversity of faculty, improve average education level of faculty, change the ratio of adjunct to full-time professors, change non-academic staff to academic staff ratio, change the student to faculty ratio, improve class size, acquire specialized accreditation, acquire teaching or research laboratory equipment (institutional or joint shared use), acquire library materials (institutional or joint shared use).

Student Services and Outcomes

Student services: counseling (peer, career, personal), tutoring and mentoring (peer, staff, faculty), student facilities (general use computer labs, study centers, tutoring centers), create and support learning communities, improve student services (i.e. financial aid distribution process, registration), improve library services (extended hours, tutoring) Student Outcomes: graduation rate, retention, persistence (i.e. Fall to Fall, basic skills to for-credit courses), increased academic achievement, happy leavers, increased number of students entering higher degree programs.

Fiscal Stability

Establish development office, train development staff, strengthen alumni relations, establish donor database, build capacity to attract external support, build and manage endowment, increase tuition dollars from enrollment, and increase research dollars.

Institutional Management

Create and maintain management information system(s); develop, integrate and update data base(s); staff and train an institutional research office; train and develop staff (other than teaching faculty); maintain library facilities (construction, renovation); improved institutional management (faculty and staff personnel management, community affairs, outreach office, recruiting); monitor construction and renovations (classrooms, teaching labs), infrastructure for the Internet.

4.11.1 Quarterly Time and Effort and Progress Reporting

In compliance with Uniform Guidance and the Federal Auditors, all activity directors must submit a Quarterly Progress Report (see Appendix) and a Quarterly Time and Effort Report (see Appendix) to the Title III Office. The format of the reports is subject to change. Staff persons assigned to the project, whether paid or unpaid must submit workload reports in order to demonstrate in-kind effort. These forms are to ascertain the progress toward objectives and to document the workload.

This information is to be submitted to the Office of Title III using the timetable below:

Semester	Time and Effort Form / Quarterly Progress Report Due	Time Period Covered
Fall	January 25	October 1 – December 31
Winter	April 25	January 1 – March 30
Spring	July 25	April 1 – June 30
Summer	October 25	July 1 – September 30

Due dates are the 25th of the months that are indicated for both Progress and Time and Effort reports.

4.11.2 Consultant Services

Consultants may be engaged to assist in activities only as described in the activity budget and with prior approval from the Title III Director. Consultants are hired as workshop presenters or as experts who provide advice and/or service. However, the federal mandate states that payment for professional services may not exceed 2% of the total Title III grant award.

Activity Directors may not hire independent consultants to perform tasks included unless

1. there is a need in the project for the services of that individual or

2. the Activity Director cannot meet the need by using an employee rather than an independent consultant.

The following information represents the minimum standards for documentation in support of the use of consultants:

1. Evidence that the services of the consultants are needed and the need cannot be met by direct salaries provided under the grant or by employees of the college or
2. Evidence that the most qualified individual available was selected for the assignment, considering the nature and extent of the services to be required.

Consultant Forms

An FVSU Contract Routing Form (see Appendix) must be completed by the activity director seeking consultant services and must be submitted to the Title III Director's Office prior to entering into arrangements with a consultant. More importantly, the consultant must be a registered vendor of the University for payment of services. A Vendor Registration Form is therefore required for all new vendors/consultants and is available in the Office of Business and Finance.

The Consultant's Report Form (see Appendix) is to be completed by the Activity Director and submitted to the Title III Office within 10 working days of the completion of consultant services. If the service provided was advice or some other service, the scope of service must show evidence via a written report from the consultant indicating his/her findings and a copy attached to the Consultant's Report Form. When a consultant is engaged to provide on-campus training (workshops, seminars, etc.), documentation of this effort in the form of a program agenda or outline, attendance sheets, and evaluation of the program by participants must be attached to the Consultant's Report Form. The Title III Director must approve the completed forms, together with the appropriate documentation, prior to payment of fees to the consultant.

Hiring Full-Time Members/Faculty Members as Consultants

The following federal OMB, State Official Code of Georgia, Board of Regents, and Office of Sponsored Programs (OSP)/institutional guidelines are in regards to compensation for State and/or State University faculty members.

Each of the four citations confirms that a faculty member may not perform work as a consult within his/her own department or while teaching during the same period. Additionally, the State code confirms that it is:

“Unlawful for any full-time employee...to transact any business with the agency by which such employee is employed.”

- University level guidelines include:
 - OSP Manual, Section 2.5.1: Salary Rates for Faculty and Staff.
 - OSP Manual (see Appendix): Extra Compensation from Sponsored Funds, Part B ii).
- The OSP Manual is available at the following link, under Resource Center.
<https://www.fvsu.edu/sponsored-programs>
- BOR Guidelines are as follows:
 - http://www.usg.edu/business_procedures_manual/ section5/C1235/, Extra Compensation.
- State Guidelines:
 - Official code of Georgia, Title 45-10-23, Public Officers and Employees; Code of Ethics and Conflict of Interest.
- OMB Federal Guidelines:
 - 200.430-200.431 , page 142-150, Compensation for Personal Services7 Fringe Benefits

4.12 Inventory Control

General grant regulations for Title III requires proper accountability for all equipment. The University will maintain the official equipment inventory system, and the grant program will assist this function by maintaining updated Title III Equipment Inventory report files for all Title III activity equipment. Activity Directors must sign this report prior to submitting it to the Title III Office.

An inventory of all Title III equipment is conducted on a quarterly basis via quarterly progress reports. Changes in location, use and condition, as well as disposition must be updated within the report. No equipment may be moved or discarded without notification and approval of the Title III Office. *All equipment acquired with Title III funds must be available for inspection by the Title III Office, external evaluators, and persons making site visits for the U.S. Department of Education.*

The University's policy requires that items in the value range of \$2,999 and above must be marked with a special decal by the Central Receiving Office.

Federal Equipment Regulations

The New Federal Uniform Guidance defines guidelines for financial management of federal grants to Institutions of Higher Education. Among the listed items, you will find the uniform administrative requirements for equipment.

Equipment means tangible personal items including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, lower limits may be established.

This information should be applied uniformly to all the University's internal administrative financial systems that manage federal grants. Please refer to the University's Office of Business and Finances Policies regarding capital assets.

Property Transfers

It is extremely important to follow procedures regarding equipment transfers. The University's Property Control Office requires that accurate inventory records be maintained. In addition, if proper transfer procedures are not followed, responsibility rests on the last user on record. The Title III Director must approve all equipment transfers.

The Property Transfer Sheet (see Appendix) must be completed and submitted to the Property Control Office when transferring assets from office to office or building to building.

The sponsoring agency (U.S. Department of Education) provides a specific process for how furniture/equipment must be distributed as stated below.

Education Department General Administrative Regulations – EDGAR Part 74.34(c) ...When no longer needed for the original project or program, the recipient (Institution) shall use the equipment in connection with its other federally-sponsored activities, in the following order of priority:

1. activities sponsored by other federal awarding agencies, which funded the original project; and then
2. activities sponsored by other federal awarding agencies.

In short, programs sponsored by Institutional Service (IS) followed by other federally funded programs receive first priority. To illustrate, Title III activities receive first priority followed by programs such as HBCU-UP, MSEIP, followed by other programs sponsored by the Department of Education, like Talent Search and Upward Bound. Lastly, other federal agencies such as NSF have final position.

Equipment/Property Disposal

The Report of Property Disposal Form (see Appendix) must be completed and submitted to the Property Control Office when disposing of any state property. The state outsources for electronic disposition (i.e. computers, phones, copiers). However, the Office of Information Technology

must assess computers in order to remove/destroy sensitive information on hard drives, etc. Moreover, FVSU participates in the State Surplus Property Disposal Program. University employees may bid on items from this website. All revenue earned by FVSU from items sold is deposited into the University's general fund.

Although the University has strict equipment/property disposal guidelines, all equipment/property purchased with Title III funds remains vested in the federal government. The U.S. Department of Education policy regarding the Title III Program requires that the Office of Title III contact them to request disposition instructions. Therefore, no reallocation or disposal of any real property can take place without the written approval from the Title III Director.

Loss, Theft, Fire

Any equipment missing, stolen, or lost must be reported to the Property Control Office and the proper law enforcement agency. A copy of this report must be forwarded to the Title III Office.

5 | PROGRAMMATIC COMPLIANCE/TECHNICAL REPORTS

5.1 Programmatic Compliance/Technical Reports

5.1.1 Overview

The Principal Investigator is responsible for preparing and submitting all technical/programmatic reports and invention disclosures required by the sponsor. Copies of these reports should also be electronically submitted to the Office of Sponsored Programs. This is an important obligation.

Failing to turn in reports in a timely fashion can result in the agency delaying or suspending final payments on the grant or contract. It can also jeopardize possible future funding from the agency, not just for the PI involved, but for other researchers at the University, as well.

For all Sponsored Programs, PI's must notify the Office of Sponsored Programs when a technical/programmatic report is sent to the sponsor. This may be accomplished by sending the OSP a copy of the report. In addition, for all other reports required by the sponsor (except for fiscal/financial reports), PI's should send the Office of Sponsored Programs a copy of said report. The Office of Sponsored Programs is also available to assist in report preparation.

****Please Note:** Fort Valley State University considers timely reporting essential to the proper stewardship of sponsored funds. Therefore, the Office of Sponsored Programs, upon consultation with the appropriate Department Chair, Dean, and Vice President, may withhold signing-off on any new proposals for faculty who are seriously delinquent in their technical reporting responsibilities.

5.1.2 Retention and Access Requirements for Records

Retention of all financial and programmatic records, supporting documents, statistical records, and other records of the University is an integral responsibility of grants management. Records Management includes activities associated with the creation, movement, retention, retrieval,

duplication, safekeeping, and destruction of records. Retention of records depends primarily on legal and audit requirements, federal and state regulations, and the historical value of the documentation.

5.1.3 University Records Retention Policy

Sponsors vary as to the length of time they require the recipient, the University, to maintain records. Sponsor terms may, in fact, differ from program to program. State of Georgia requirements regarding records retention must also be considered; these requirements vary according to program and circumstance. Typically, the University is required to retain official university records for five years from the end of the project period, and PI/PD records for three years after final award close-out. If an audit is initiated within this three-year period, records must be maintained until all audit issues are resolved.

Official records can include program records housed with the PI/PD, fiscal records and documentations housed with the Contracts and Grants office, and the official application and award file housed in the OSP. All reports are the property of the University. PI's/PD's must notify the OSP before any program records or files are destroyed or moved from campus.

5.2 Participant Support Costs

The purpose of this policy is to comply with federal regulations, ensuring that funds provided for participant costs take into account the types of costs and scenarios allowable.

5.2.1 Background Information

Participant support is provided by a number of federal agencies and other sponsors. The National Science Foundation (NSF) has the most restrictive policies governing the budgeting, expending, and reporting of these funds. Therefore, the following policy is based upon NSF requirements.

In general, participants are the recipients of service or training associated with a program, workshop, conference, seminar, symposium, or other short-term instructional or information

sharing activity. The participants are not required to provide any deliverable to the University or third party in return for these support costs.

Participants may include students, national scholars, and scientists, private sector representatives, agency personnel, teachers, and others who attend and participate in the conference, workshop, or training activity. Unless specifically provided for in the award document, FVSU faculty and staff are not eligible for participant support.

Participant support costs are defined by NSF as “direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with meetings, conferences, symposia, or training projects.” Costs other than 2 CFR § 200.75, such as incentives, gifts, souvenirs, T-shirts, and memorabilia, must be justified in the budget justification and such costs will be closely scrutinized by NFS, see GPG Chapter II.D.9.

5.2.2 Pertinent Regulations

NSF Grant Policy Manual 05-131 July 2005, Section 618.1

“Funds provided for participant support may not be used by grantees for other categories of expense without the specific prior written approval of the cognizant NSF Program Officer. Therefore, awardee organizations must account for participant support costs separately.”

“Participant support allowances may not be paid to trainees who are receiving compensation, either directly or indirectly, from other federal government sources while participating in the project. A non-NSF employee may receive participant support allowances from grant funds provided there is no duplication of funding of items and provided no single item of participant cost is divided between his/her parent agency and NSF grant funds.” NSF further specifies that local participants may participate in conference meals and coffee breaks; however, grant funds may not be used to pay per diem or similar expenses for these participants.

5.3 Procedures

5.3.1 Budgeting for Participant Costs

Whenever Participant Support Costs are proposed in a budget, a detailed justification will be required that describes the purpose for the costs and the way in which they will directly benefit the proposed project's scope of work. The number of participants to be supported must be included and the costs must be specified, itemized, and justified in the budget narrative. Indirect costs (Facilities & Administrative) are not allowed on participant support costs.

Upon receipt of an award that includes Participant Support Costs, the PI will be notified of the specific restrictions governing the expenditure of these funds.

5.3.2 Identifying and Accounting for Participant Costs

When an award provides funding for participant support, Grants and Contracts Accounting and the Budget Office will establish a separately budgeted project number in PeopleSoft. Special PeopleSoft account codes will further differentiate expenses:

783103 – Stipends–Participant Costs

783104 – Stipends–Participant Fees

783105 – Stipends–Participant Allowance

783106 – Stipends–Participant Room & Board

651100 – Travel–Non-Employee Participant

5.3.3 Monitoring the Project

As the award routes through the Internal Compliance area, following the post-award conference between the OSP and PI, a file will be created by the Grants and Contracts Accountant to include all pertinent information regarding the type and amount of participant support provided for in the award agreement. The project will then be entered into the PeopleSoft database by the Budget Office. The database establishes a monthly review schedule. At each scheduled date, the Grants

and Contracts Accountant and/or Budget Office will review the project statements, transactions, and source documents, if necessary, to ensure that the funds are being expended according to federal regulations and the terms of the agreement. If questions or concerns arise, the Grants and Contracts Accountant and/or Budget Office will notify the Comptroller for further evaluation and/or corrective action.

When the project is complete, or all funds have been expended appropriately, the Grants and Contracts Accountant will notify the PI, and then proceed to close the project.

5.3.4 Cost Transfers

Cost Transfers under grants that represent corrections of clerical or bookkeeping errors should be completed within 90 days of when the error was detected. The transfers must be supported fully by documentation that clarifies how the error occurred and certifies that the new charge is correct by an authorized organizational official of FVSU. A statement that the transfer was done “to correct an error” will not be satisfactory. Transfers of costs from one project to another solely to cover cost overruns are not allowable.

The Office of Grants and Contracts Accounting must maintain detailed documentation of cost transfers, in conformity with 45 C.F.R. part 74.53 or 92.42.

5.3.5 Renewal and Continuation Applications

Since Renewal and Continuation Application processes may require making substantial changes in terms of institutional commitments, personnel and/or funding agency requirements, these application processes are handled the same as a new application would be handled. (See Guidelines for Basic Proposal Development 2.4.)

5.4 Grant Closeout

Closeout of a grant or other agreement is the process by which the sponsoring agency determines that all applicable administrative actions and required work of the agreement have been completed by the University and the sponsoring agency. The date of completion is the date on

which all work under grants and other agreements is completed or the date on the award document, or any supplement or amendment thereto, on which sponsorship ends. Each grant shall be closed out as promptly as is feasible after expiration or termination.

Finishing a grant project is just as important as starting one. In many cases, the way in which close out procedures are handled, such as timely submission of final reports and the quality of these reports, can have a direct impact on chances for future funding. As the ending date approaches, the OSP, Contracts and Grants, and the Principal Investigator ensure that all agency specific and university requirements have been met and all necessary records are in the file for each project.

There are several areas of management that need particular attention at the close of a sponsored project:

Budget: Make sure final budget revisions are on file; notify the staff and other appropriate personnel that the grant account number has now expired and should not be used after the grant period has ended.

Personnel: Separation paperwork must be completed for all staff. This process is completed by properly completing and processing the Personnel Action Notice (PAN) (see Appendix) and routing through the appropriate signatory process including Supervisor, Department Head and Dean, Director of Sponsored Programs, and Provost and Vice President for Academic Affairs.

Purchasing Activities: All requisitions, requests for travel and other finance based requests should be forwarded to the Procurement Office 30 days prior to the end of the grant date. All encumbrances should be cleared from the account.

Grant Files: All files should be reviewed for grant documents, personnel records, purchase orders and requisitions, and budget records. Also, make sure final reports have been submitted to the funding agency, and that copies are retained in the grant file.

Storage: Finally, the PI is required to arrange for storage of grant files via the Capital Asset Management/Property Control Office and inform the OSP where the records are stored. (See 4.1.3 University Records Retention Policy)

6 | INTELLECTUAL PROPERTY

6.1 Disclosure

A faculty or staff member or, where indicated, student at Fort Valley State University who discovers, creates, makes, or develops a concept, invention, or other work in the course of University resources shall timely disclose it to the Office of Sponsored Programs, Post-Awards Coordinator, and the Office of Contracts and Compliance in writing via the Intellectual Property Disclosure Form, available on the compliance web page at <http://www.fvsu.edu/compliance/>. The disclosure shall be adequate to allow determination of applicability of the University Intellectual Policy and ownership and property interests.

For additional information, refer to Appendix, page 129 or visit

<http://www.fvsu.edu/compliance/>.

APPENDIX



Frequently Asked Questions (FAQs)

Q: What should I do with correspondence from the sponsor?

A: Any sponsor correspondence should be shared for review with the Office of Sponsored Programs (OSP).

Q: Does Fort Valley State have to receive funds from the sponsor before I can start spending out of my grant account?

A: No, not as long as the award/contract documents have been signed by the sponsor and FVSU. In most instances, the Office of Grants and Contracts Accounting (OGCA) operates on a cost reimbursement basis. In some cases, grants are pre-funded by check.

Q: What does AOR mean?

A: Authorized Organization Representative.

Q: Who is the AOR for Fort Valley State University?

A: Provost and Vice President for Academic Affairs or designee.

Q: Who should sign the award document or contract?

A: The Authorized Organization Representative or designee must approve all award documents, memorandums, or contracts. The author of additional signatures may vary depending on the contract requirements. Please submit all documents requiring signatures to the Office of Sponsored Programs for further determination of the appropriate procedures to be followed.

Q: Do I have to monitor my sponsored project?

A: Yes, it is important that the Principle Investigator (PI) monitors award activity and notify OSP of any discrepancies as soon as possible.

Q: Who prepares the financial reports?

A: Your designated Accounting Professional in the OGCA will prepare financial reports. However, the PI is responsible for getting the appropriate paperwork to OGCA on time. The PI is also responsible for preparing any technical/performance reports required by the sponsor.

Q: What is a Time and Effort Certification Report?

A: The effort reporting system at the University is designed to provide a reasonable basis for determining and documenting salary and wages charged to sponsored programs. The certification of effort on a grant project is required by federal regulation regardless of the source of funds for the award.

Q: What are the procedures for travel?

A. **Domestic Travel:** Reimbursement of employee related travel to a grant is governed by sponsor requirements, applicable laws and regulations, and University policy.

B, International Travel: Some sponsors require that foreign travel be approved by the sponsor in writing and in advance, even when the award includes funds for foreign travel. Federal awards require that all foreign travel utilize U.S. flag air carriers wherever possible without regards to cost or convenience. Please speak with OSP before any international travel related to your award.

Q: Do I need to go back to the sponsor for the budget revisions or to extend the time period of my grant?

A: The principle investigator must direct the project work so that it will be completed within the allotted time and funds authorized. It is sometimes necessary, however, and appropriate to initiate a request for additional time with or without additional funds. Requests for such changes should be initiated by the PI, through OSP, and forwarded to the sponsor well in advance, at least 60 days prior to the project expiration date. Verifiable documentation from the sponsor authorizing an extension of the project or budget period must be provided to OSP.

Q: What are the close-out procedures?

A: Usually the funder will notify the AOR and/or the PI 60 days prior to the end date of the contract or grant. It is the PI's responsibility to ensure that the project is completed and funds to be expended on the project are incurred within the performance period. Any documentation of expenses should be taken to OGCA. Any fund balances remaining after the close of the grant period must be promptly returned to the sponsor unless an extension has been approved.

Q: What are the implementation dates for the new guidance?

A: The Uniform Guidance applies to all new grant awards and non-competing continuations (NCCs) made on or after 12/26/2014 (see 2 CFR 200.110). The Uniform Guidance also applies to any administrative actions or supplements made to those awards that were made on or after 12/26/2014.

Q: Does the Uniform Guidance apply to formula funds?

A: Yes, the Uniform Guidance applies to both formula and discretionary grants in just the same way that former Education Department General Administrative Regulations (34 CFR) Parts 74 and 80 did. The only difference is that these regulations are now found in one place. There are some items, such as 2 CFR 200.205 and 205.206, that only apply to discretionary and cooperative agreements, not to formula grants. If the type of award is not specified in a particular section, subpart or group of sections, then the requirement applies to all awards.

Glossary

NOTE: Effective December 26, 2014, Uniform Guidance was issued and supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230), Circulars A-89, A-102, and A-133, and the guidance in Circular A-50 on Single Audit Act follow-up. See final guidance for more information on implementation.

A-21: The Office of Management and Budgets (OMB) Circular establishing the cost principles for allow ability of costs incurred by institutions of higher education under federally sponsored agreements.

A-110: Circular published by the Office of Management and Budgets (OMB) establishing administrative policies for fiscal management of grant awards in non-profit and higher education institutions.

A-133: Circular published by the OMB specifically relating to audit requirements and provides policy guidelines to federal agencies and colleges and universities regarding the institution's financial records, internal control structure, and compliance with applicable laws and regulations

Award: The provision of funds, based on an approved application and budget or progress report, to an organization or individual to implement a project or activity.

Active Award: Today's date is between the budget start and end dates on the Notice of Award (NOA).

Administrative Expenses: Costs incurred for the support of activities relevant to the grant or agreement.

Animal Welfare Assurance: Documentation an institution involving animals in research must have on file with the Office of Laboratory Animal Welfare before a PHS Agency may award a grant or contract.

Authorized Organization Representative (AOR): The individual authorized to assume the obligations imposed by federal laws, regulations, requirements, and conditions that apply to a grant application or the grant award.

Budget: Identifies the types of costs and the estimated amounts needed to complete the project. The budget must be approved by the funding agency and Fort Valley State University. The budget will be the basis for authorizing any expenditures on the project and for seeking payment from the sponsoring agency.

Budget Period: Dates assigned by the sponsoring agency during which time funds may be expended.

Carryover: Unobligated and unexpended funds from a previous budget year which are to be expended during the current budget period.

Catalogue of Federal Domestic Assistance (CFDA): A listing of all federal programs, projects, services, and activities that provide assistance or benefit to the American public.

CFDA Number: A unique five-digit representation that identifies the funding agency and the program.

Computing Device: Machines used to acquire, store, analyze, process, and publish data and other information electronically, including accessories or peripherals for printing, transmitting, and receiving or storing electronic information.

Contract: An agreement to provide a product or service which is of direct benefit to the awarding agency. Contracts provide payments to the University which cover allowable project costs or payment of a fixed price for satisfactory completion of the project.

Cost Accounting Principles: The principles as set out in applicable statutes, regulations, sponsor instructions, OMB Circulars and generally accepted accounting rules used for determining

allowability, reasonableness, and allocability of costs applicable to grants, contracts and other agreements.

Deficit: The excess of expenditures over revenues during an accounting period or award/project period for grants and contract.

Direct Cost: Those costs that can be identified specifically with a particular activity within a sponsored project. Supplies, salaries, wages, and travel used specifically for a project are examples of direct cost.

Equipment: Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000. See also §§200.12 Capital assets, 200.20 Computing devices, 200.48 General purpose equipment, 200.58 Information technology systems, 200.89 Special purpose equipment, and 200.94 Supplies.

Grant: An agreement to accomplish something for the public good in exchange for money, property, or services. Most federal agencies use a grant document for research awards to universities.

Indirect Costs: These are general costs that cannot be clearly identified with a specific project, but are nonetheless necessary to the project. For example, costs of maintaining a building, administrative expenses, or library expenses are types of indirect costs.

No Cost Extension: A request to extend the period of performance for a project, without additional funding.

Principal Investigator: The individual with the responsibility for conducting the research or other activity described in a proposal for an award. The terms “principal investigator” or “project director” may be used interchangeably in accordance to the agency’s program language.

Sponsored Programs: Projects or programs that are conducted by faculty members and/or administrative staff members and supported fully or in part by external funding awarded to the University. Sponsored programs may be research, instructional, or service in nature. In all sponsored programs, the University has obligations to the sponsoring agency in accordance with the terms of a proposal or agreement. In the case of a proposal, these obligations are based on the project description developed jointly by the sponsor and the faculty member and/or administrative staff member.

Sponsor/Funding Agency: Federal, state or private agencies external to the University who provide support for a program or project at the University.

Supplies: All tangible personal property other than those described in Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life. See also §§200.20 Computing devices and 200.33 Equipment. Supplies should be listed in the budget by type (i.e., office supplies, laboratory supplies, etc.) and include estimated costs.

Modified Total Direct Cost (MTDC §200.68): Are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each sub-award (regardless of the period of performance of the sub-awards). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

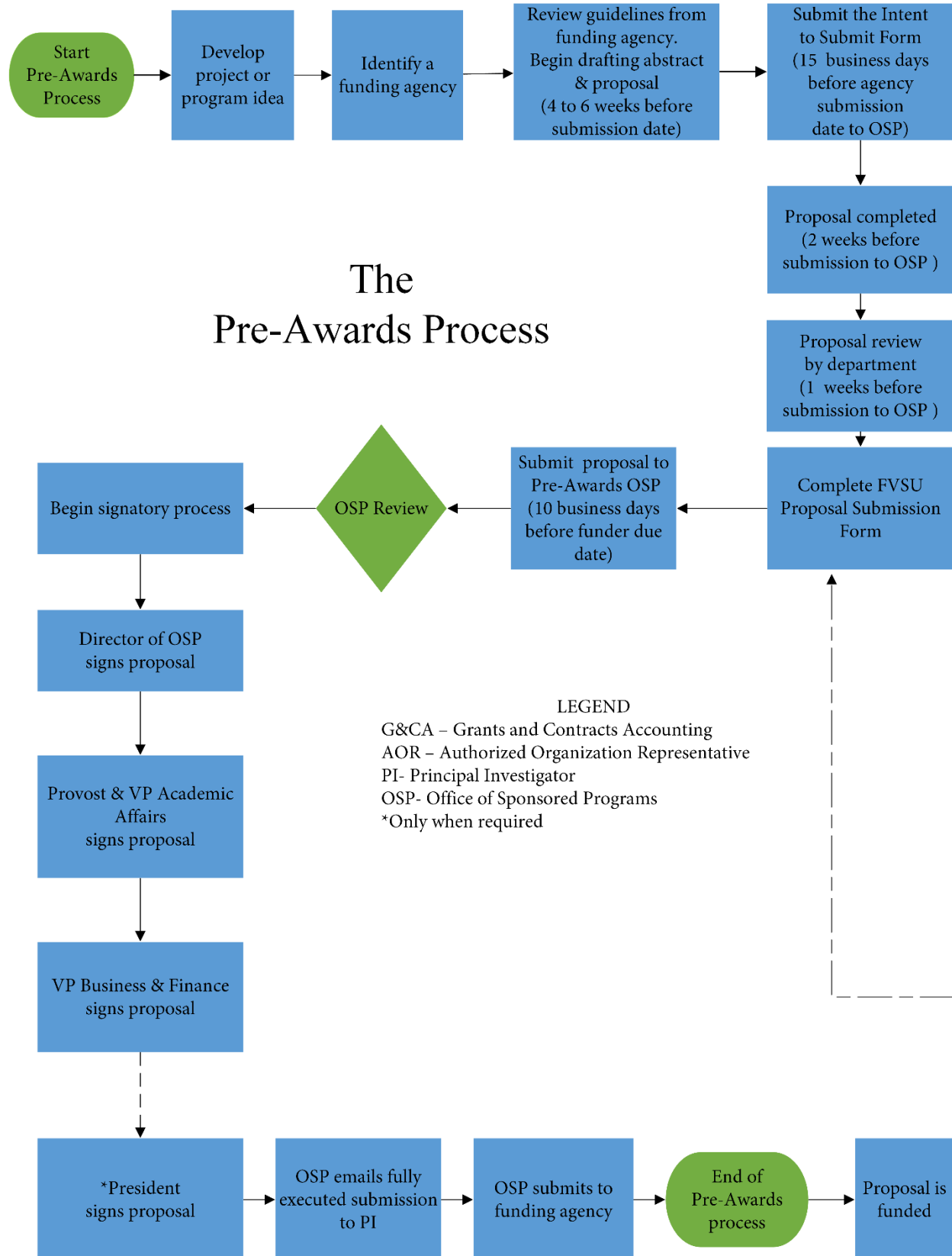
Technical Report: A report on the progress and/or status of a project supported by sponsored funds submitted by an investigator. Technical reports are part of the conditions of many

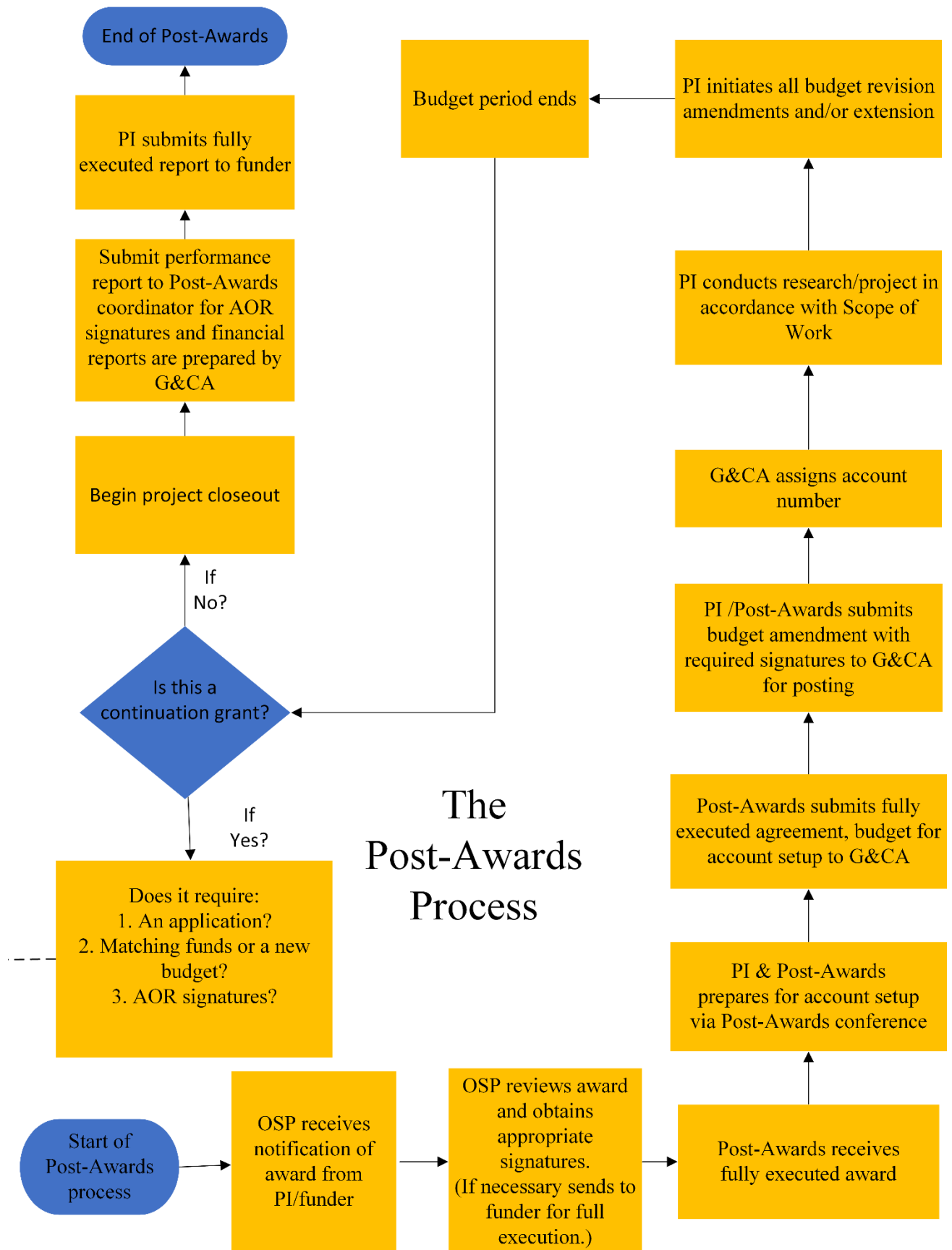
sponsored agreements; may be submitted as an interim report, with continuation proposals, requests for supplemental funding, or at the termination of a sponsored project.

FVSU RESEARCH



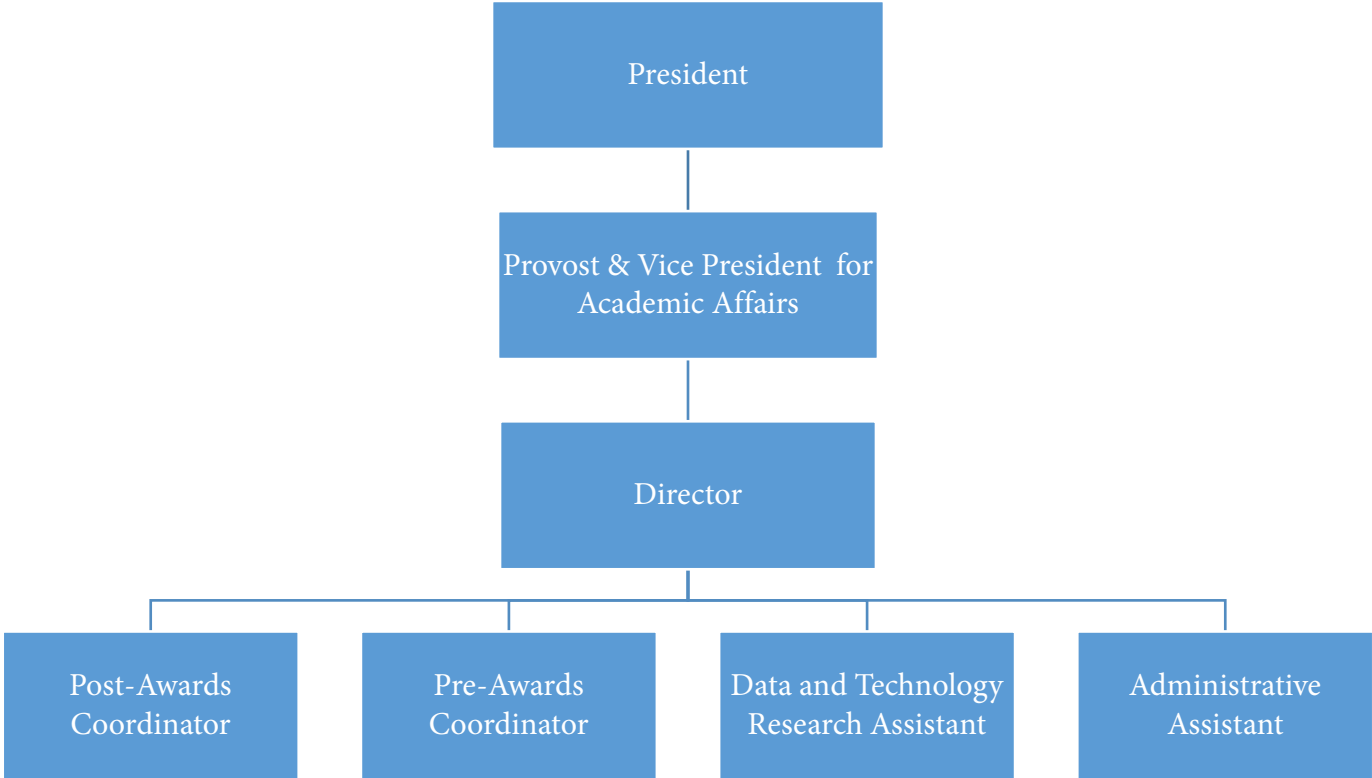
Awards Process



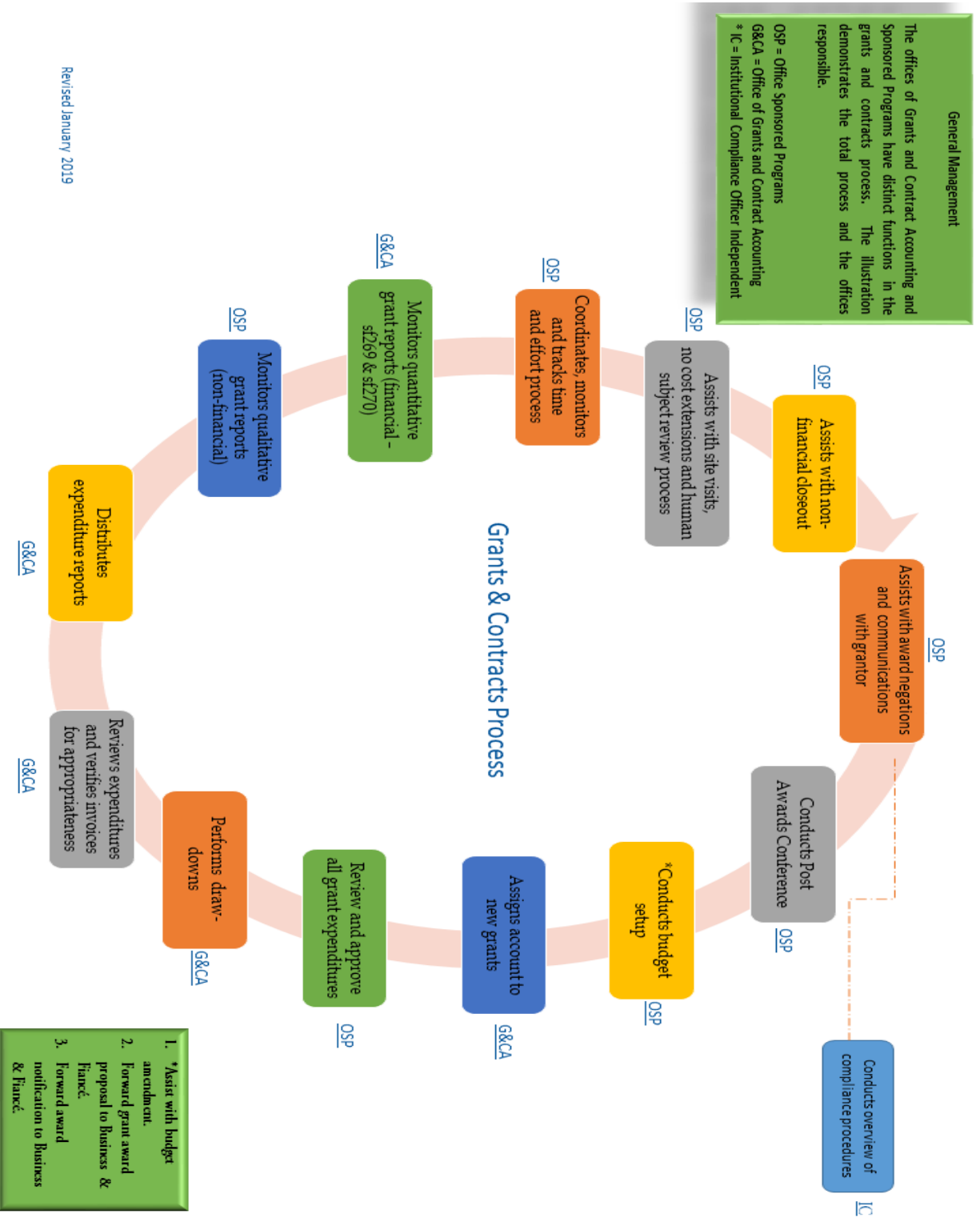


The Post-Awards Process

Office of Sponsored Programs Organizational Chart



Grants and Contracts Process



Notice of Intent to Submit



NOTICE OF INTENT TO SUBMIT Office of Sponsored Programs (OSP)

To the author: The Notice of Intent to Submit a proposal must be submitted to the Office of Sponsored Programs no later than 15 business days before the Proposal due date to the funder. Please attach a copy of your RFP.

Principal Investigator : _____

Other PIS : _____

Telephone Number : _____

College / Administrative Unit: _____

PI Email: _____

Funding Agency / Organization : _____

CFDA# (If applicable): _____

Program/Solicitation #: _____

Program Title: _____

Institution limited to one proposal: _____ YES _____ NO

Submission Deadline : _____

Amount Requested: _____

Indirect Costs to be captured: _____
(The IDC Rate is 36% (on-campus) unless otherwise stated by the Funder in writing)

Amount of Cost Share _____

Type of Cost Share (Cash match or In-kind) _____

Is this a Sub-award Agreement: _____ YES _____ NO

I will provide the OSP with the final proposal for review on Date : _____

All proposals are due to the OSP at least 10 business days before the due date to the funder. Any proposals submitted after this time frame may not be approved for submission.

Proposal Submission Form Instructions

DOCUMENT INFORMATION:

Title:	Indicate the title of the proposal.
Author:	Indicate the name(s) of the Proposal Author(s).
Submission Date:	Indicate the proposal due date to the funder.
	Indicate whether the proposal submission requires an online submission.
Online submission:	If yes, indicate Provost or Designee as the online signatory.

BUDGET INFORMATION:

(Please refer to the Glossary on page 100 for definitions of the following terms.)

Total Requested:	Indicate the total funds requested in the proposal. Direct and Indirect Costs (if allowable).
Indirect Cost/Rate Requested:	Indicate the amount calculated. The current Indirect Cost rates for all programs are 36% on campus and 13.64% off campus.
In-Kind Requirement:	Indicate the dollar amount.
Matching Requirement:	Indicate the dollar amount.
Flow Through Awards:	Indicate if the award will be a flow through from a secondary party.
Release Time Approved:	This must be approved by the PI's Department Chair and Dean. Indicate the percentage of time for release time.
Library Acquisition:	Assessed at 3% of the budget on all allowable proposals. The PI is responsible for providing proof if not allowable.

SIGNATURES:

The Principal Investigator will sign the proposal and secure the signatures of the Department Chair and Dean prior to submitting the final proposal to the Office of Sponsored Programs for review of compliance at least **10 business days** before the due date to the funder. The OSP will secure the signatures of the University Signatories. Please do not forward the proposal without OSP knowledge. (Refer to the Proposal Submission Guidelines on page XXX.)

NOTE:

All proposals are to be submitted to the funder only after the review process by the OSP and approval by all required University signatories. (Refer to page 33 for guidelines on unofficial proposals.)

FORT VALLEY STATE UNIVERSITY
OFFICE OF SPONSORED PROGRAMS
Proposal Submission Form

To the Author: Please attach a copy of your **Proposal Abstract, Budget, Budget Justification, and the current/updated RFP** (and any reviewers' comments if this is a re-application to this form.) After the completion of the shaded area (proposal documentation and submitting department signatures), submit this form and its attachments, to the Office of Sponsored Programs located in the Troup Building. Please allow at least ten (10) business days for the review and routing process. The entire finalized proposal package is required to be submitted with this form to OSP. You will be contacted by the Office of Sponsored Programs when the process has been completed.

Document Information

Title: _____
 Author: _____ Funder's Due Date: _____
 Funding Agency: _____
 Funding Opportunity Number: _____
 CFDA: _____
 Is this a Sub-Award? No Yes
 Online Submission: No Yes please list required online signatory _____

Budget Information

Total Requested: _____ Indirect Costs Requested/Rate: _____ / _____ %
 In-Kind Requirement: No Yes amount: _____
 Matching Requirement: No Yes amount: _____
 Flow Through Award: No Yes list agency: _____
 Release Time Approved: No Yes signature of VPAA: _____
 Library Acquisition: amount 3%: _____

I certify that this proposed project has been thoroughly discussed with my Department Chair or Area Supervisor and that I have not committed this institution to expenses which are not covered in this proposal except for in-kind contributions which have been agreed upon by all parties involved in the execution and management of this project. Further, if this proposal is accepted, I agree to comply with the terms of the award, including submission of all reports, budgets, and other required materials in a timely manner. I understand that if I plan to depart from FVSU prior to completing the terms of the award, my exiting procedure may be delayed until my final reports are completed, or until the project is officially reassigned to another coordinator.

I further certify I understand that all proposals for funding submitted on behalf of Fort Valley State University are and remain the Intellectual Property of the University. **Proposals not submitted ten days prior to agency deadline must have a written justification as to why the project is being submitted late.**

Principal Investigator	College	Department	Date
We have reviewed the proposal and/or discussed it with the author. We are satisfied that the project is sound and does not conflict with the stated mission of the institution or the University System of Georgia Board of Regents.			
_____	_____	_____	_____
Department Chair/Program Director	Date	Dean	Date

The signatures below will be secured by the Office of Sponsored Programs after the review process of the request for funding submission.

_____	_____
Director, Office of Sponsored Programs (OSP) Date	VP, Business and Finance Date
_____	_____
Provost/Designee Date	President/Designee Date <i>(If the agency requires President to be PI)</i>

FVSU/OSP Prop Sub Form: Feb 20, 2019

Extra Compensation from Sponsored Funds

Typically, it is assumed that grant projects will be incorporated into a faculty member's workload without extra compensation. However, there are some exceptions to this rule:

- A. Summer work during the eight weeks separate from the 10-month faculty contract--with an approved PAN, or
- B. As part of extraordinary conditions in which the faculty member first demonstrates that—
 - i. Other ways to incorporate the grant duties into current duties (without extra compensation) have been sought,
 - ii. Grant work will be outside of faculty member's department,
 - iii. Grant work will be outside of regular contractual responsibilities,
 - iv. Grant work will be performed at a remote location and—most importantly—
 - v. Full approval through the university's process on a form to amend a faculty contract for extra compensation (secured from Academic Affairs) has been secured.

Again, this process supports the assumption that grant work (or work supported by grant funding) is part of what's expected of faculty. However, the process to initiate this begins with Academic Affairs (secure the standard approval form from there), then External Affairs (Sponsored Programs) where all grantor, OMB/BOR/Title III institutional criteria will be met. Finally, Business and Finance must approve the extra compensation.

Student Worker and Student Participant Compensation

1. Definitions.
 - a. A student worker, for purposes of this policy, is a student employed at Fort Valley State University in compliance with Board of Regents policies including, but not limited to, the 19-hour maximum weekly employment requirement.
 - b. A student participant, for purposes of the policy, is a Fort Valley State University student who is not a student worker but who engages in a program or activity and receives a stipend or similar compensation under the terms of the program agreement.
2. Statement of Circumstances. Fort Valley State University seeks to maximize financial resources available to all of its students; yet, the University is compelled to recognize the limitations placed upon it by the availability and sources of funding.
3. Statement of Policy Regarding Student Worker Compensation. Except as may be restricted or prohibited by law or regulations issued pursuant to law, it is the policy of Fort Valley State University that student workers be permitted to earn salary or similar compensation permissible under:
 - a. The rules established by the agency or institution that is funding the student's salary or similar compensation;
 - b. The terms of the grant, project, or program;
 - c. The nature and conditions of the student's participation; and
 - d. The reasonable discretion of the grant, project, or program manager.
4. State of Policy Regarding Student Participant Compensation. Except as may be restricted or prohibited by law or regulations issued pursuant to law, it is the policy of Fort Valley.

5. State University that student participants be permitted to receive stipends and similar compensation permissible under:
 - a. The rules established by the agency or institution that is funding the student's stipend or similar compensation;
 - b. The terms of the grant, project, or program;
 - c. The nature and conditions of the participation for which the stipend or similar compensation is awarded; and
 - d. The reasonable discretion of the grant, project, or program manager.
6. Other Student Workers. Students will be paid at the minimum wage rate unless a different rate is called for in accordance with the criteria prescribed in number 3 or 4 of this policy.
7. Application of Other Policies and Procedures. Student employment and student participation under this policy remain subject to all pertinent Fort Valley State University administrative, fiscal affairs, student affairs, and academic affairs procedures and processes.

Personnel Action Notice (PAN)

PERSONNEL ACTION NOTICE (PAN)

Fort Valley State University

A. EMPLOYEE

(This is Not a Contract)

Name (Last, First Middle) <i>(as it appears on Soc. Sec card)</i>		Employee ID #:	
--	--	----------------	--

B. APPOINTMENT CLASSIFICATION (✓ Appropriate classification. Explain multiple appointment classifications in Remarks on back)

Faculty, Academic Year (AY)		Staff, Regular (ongoing or > 3 yrs)		Graduate Assistant, Fiscal Year (FY)	
Faculty, Fiscal Year (FY)		Staff, Limited Term (> 6mo - 3 yrs)		Student Assistant (non-work / study)	
Part Time Instructor (PTI)		Staff, Temporary (6 mo or less)		Student Assistant, federal work / study	
Fellow or Postdoc		Staff, Occasional / On-call		Other, specify:	
Other		Senior Administrator			

C. ACTION REASON (✓ Appropriate action. Must be received by HR 10 working days before regularly scheduled pay date.)

NEW HIRE or REHIRE (sec D & E)	Action Start Date	End/Term Date	ACTION Code (see back)	REASON Code (see back)	HR Use	Hrs	PyThruDt
CHANGE position information (sec D)	mo day yr				Vac		
CHANGE earnings distribution (sec E)					Sick		
TERMINATION		not applicable					

D. POSITION INFORMATION (HIRES: enter data in all TO fields. CHANGES: enter only fields requiring changes from current info)

	Change FROM	Change TO	Change FROM	Change TO
Home Department			Room/Bldg Office	
Transfer			Location	
Promotion/Title Change			Phone Ext. Direct Line	Ext.
B-Code (0 digits, e.g., 101X33)			Salary Rate	\$ \$
Job Title(s) (Board of Regents)			Payroll Type – ✓ Appropriate payroll type.	Temp-biweekly Reg-biweekly
FT Equivalency (FTE) 1.00 = Full-time				Reg-monthly Temp-monthly
Leave of Absence Status	Active LOA	LOA Active	Special Pay beyond Base*	One-time pymt* One-time pymt* Stipend* Reg-monthly
OTHER (explain in Remarks below)				

E. EARNINGS DISTRIBUTION. (Enter for all employees. Must total to 100% regardless of FTE. Must reflect actual allocation of effort.)

ACCOUNT NUMBER(s) To Charge Salary / Effort	DEPARTMENT AND/OR PROJECT NAME	% of total Salary/ Effort	Monthly Charge (Grant/Project/ Cost-Share use only)	Total Charge
			\$	\$
			\$	\$
			\$	\$
% of TOTAL SALARY / EFFORT		100.00%	\$	\$

F. REMARKS (Explanations/details. Continue on back if necessary. *Explanation/justification required of all stipends & one-time payments.)

*Explain:

G. APPROVALS

(HR Use Only) Position number: _____ Processed by: _____

	NAME (Printed)	SIGNATURE	Phone Ext	Date
Employee				
Hiring Official				
Department Chair				
Dean				
Director of Office of Sponsored Programs	Joyce Johnson		4323	
VP, or President	T. Ramon Stuart		6330	
Budget Official	Traci Williams			
Financial Aid/Other (as needed)				
Human Resources	Carole Clerie		6404	

- A. **EMPLOYEE.** Name & SS# cannot be changed via this form; have employee contact Human Resources for Name/SS changes.
- B. **APPOINTMENT CLASSIFICATION.** If there are multiple appointment classifications, explain in Remarks.
- C. **ACTION REASON.** Note the reason for the action using the following HIRE, CHANGE, LEAVE, or TERMINATION codes:

DESCRIPTION	ACTION Code	REASON Code	DESCRIPTION	ACTION Code	REASON Code
HIRING ACTIONS (Attach Board approval when hiring a retiree)			CHANGE ACTIONS		
New Hire to regular or limited-term FVSU faculty or staff position (more than 5 months expected duration)	HIR	NEW	Start Acting or Interim appointment	DTA	SAP
New Hire to FVSU student employment	HIR	STU	End Acting or Interim appointment	DTA	EAP
New Hire to temporary or occasional FVSU fac / staff employment (expected duration of 6 months or less)	HIR	TMP	Change in Appointment Classification	DTA	CLS
New Hire to regular or limited-term FVSU employment directly from another University System of GA Institution, with no break in service	HIR	HAF	Change in Fulltime Equivalency (FTE)	DTA	FTE
			Change in Earnings Distribution	DTA	EAR
New Hire for Summer faculty position only	HIR	SUM	Start Summer faculty appointment	DTA	SSP
Rehire former FVSU employee to regular or limited term FVSU faculty/ staff position	REH	NEW	Reimburse taxable moving expenses (attach original receipts to PAN)	PAY	MOV
Rehire to FVSU student employment	REH	STU	Extend temporary/ sponsored/ limit-term appointment	PAY	EXT
Rehire former FVSU employee to temporary or occasional FVSU employment	REH	TMP	Start Layoff or Seasonal Closure	LOA	LAY
Rehire former FVSU employee for Summer faculty position only	REH	SUM	Recall/reactivate from Layoff or Seasonal Closure	RFL	LAY
			Spend for additional duties (attach justification)	PAY	STI
Rehire a retiree into part-time position < 20 hrs/wk. NOTE: Attach required notification to TRS	REH	RET	Correction of data (explain in Remarks)	DTA	COR
			Adjustment to salary (explain in Remarks)	PAY	ADJ
Hire current FVSU employee for an additional position	HIR	ADL	Other pay action (explain in Remarks)	PAY	OTH
TERMINATION ACTIONS			Reclassification of current position (reviewed by HR)		
Retirement, regular – with benefits	RET	RWP	Transfer from temp/student to regular position	TRN	TMP
Retirement, TRS/ORP (no benefits)	RET	TRS	Transfer to position in same pay grade	TRN	LAT
Death of employee	TER	DEA	Transfer to position in lower pay grade	TRN	DEM
Elimination of position	TER	ELI	Transfer to position in higher pay grade (promotion)	TRN	PRO
Failure to return from Layoff	TER	LAY	LEAVES OF ABSENCE – Attach appropriate documentation (e.g., medical statement, adoption papers, military orders)		
Failure to return from Leave of Absence	TER	LOA	Place on Leave of Absence Individual Medical, FMLA-qualifying	LOA	FIM
End of temporary position	TER	TMP	Place on Leave of Absence Childbirth/Adoption, FMLA Qualifying	LOA	FCA
End of summer position	TER	SUM	Place on Leave of Absence Family Leave, FMLA- Qualifying	LOA	FFM
End of limited term position/ End of contract	TER	LMT	Place on Leave of Absence Individual Medical, non-FMLA	LOA	NIM
			Place on Leave of Absence Childbirth/Adoption, non-FMLA	LOA	NCA
DISCHARGE FOR CAUSE – Attach copy of explanatory letter to employee detailing reason for discharge			Place on Leave of Absence Family Leave, non-FMLA		
Discharge, Attendance/Hardiness	TER	DAT	Place on Leave of Absence Family Leave, non-FMLA	LOA	NFM
Discharge, Job Abandonment / AWOL	TER	DJA	Place on Leave of Absence Workers' Compensation, FMLA Qualifying	LOA	FWC
Discharge, Unsatisfactory performance during provisional period	TER	DPP	Place on Leave of Absence Workers' Compensation, non-FMLA	LOA	NWC
Discharge, Unsatisfactory performance following performance improvement counseling	TER	DUP	Place on Leave of Absence, Military	LOA	MIL
Discharge, Misstatement on Application	TER	DMA	Place on Leave of Absence, Personal	LOA	PER
Discharge, Misconduct or Dishonesty	TER	DMD	Place on Leave of Absence – Faculty Sabbatical	LOA	SAB
Discharge, Other reason	TER	DOR	Place on Leave of Absence – Education/ Training/ Professional Development	LOA	EDU
RESIGNATION – Attach copy of resignation letter if provided.			Return from Leave of Absence		
Resignation, to seek/accept another position	TER	ROP	Failure to return from Leave of Absence	TER	LOA
Resignation, for personal or family reasons	TER	RPF	HR Only		
Resignation, to join the military	TER	MIL			
Resignation, dissatisfaction with working conditions	TER	RWC			
Resignation, dissatisfaction with pay	TER	RPY			
Resignation in lieu of discharge for cause	TER	RDC			
Resignation, return to school	TER	RTS			
Resignation, other or no reason given	TER	RES			
Resignation, transfer to another Univ Sys of Ga Inst	TER	RTA			
Resignation, unable to work, disability	TER	RUD			

D. POSITION INFORMATION (DEFINITIONS)

- Home Dept - Department of first or primary affiliation, even if salary is paid from other account(s).
- Job Title - Must correspond to a title approved by the Board of Regents. Staff titles may only be changed with advance HR approval.
- FTE - % of full-time equivalency. 1.00 = 100% time. Positions with an FTE less than 0.5 are not benefit-eligible.
- Payroll Type - **EXEMPT** - monthly salaried position, not overtime-eligible (faculty, admin/prof staff, Graduate Asst)
NON-EXEMPT - hourly, OT-eligible, submits timesheets (clerical, trades, student assistants).

Additional REMARKS

PAN 6/28/17

Instructions for Preparing Budget Amendments

Introduction:

The Budget consists of a series of estimates prepared many months before the grant year. Since conditions change with the passage of time, PI's should continuously review the data on which the budget was based. Periodic revisions should be made in order that the budget may always represent a true statement of realizable income and a realistic plan of expenditures.

The Budget Amendment Form is designed to be easy to understand and simple to use. There is only one form, the Budget Amendment Worksheet. This form displays four columns of data: Original Budget, Approved Amendments, Requested Amendments, and Amended Budget. The following steps should be followed when completing budget amendments.

1. Insert school name or area.
2. Insert name of department or project.
3. Enter budget amendment number, which is a three-digit number. The first two digits represent the budget year and the third digit, the amendment requested. For example, 02-1, 02-2, 02-3, etc.
4. Enter the first 22 or 25 digits of your department's 28- or 31-digit account number.
5. Record in the Original Budget Column, the amount of your approved budget at Oct. 1st of each new fiscal year. Make sure that included in this column are all amounts, even if amending only one account number. Total each Subdivision and Grand Total.
6. If this is the first Budget Amendment for the fiscal year, go over to the Requested Amendments column and record in the column the amount of Object Transfers. Place a bracket or parenthesis around the reduction amount. Total the transfers and record at bottom of the page.

7. Add or subtract the amounts in the Original Budget column and Requested Amendments column and place these amounts in the Amended Budget Column, which is now the new budget. Be sure that the total amount of the Original Budget and the Amended Budget is the same.
8. If this is not the first amendment, follow the same procedure as with the first amendment; the only difference is that all prior approved amendments in the Approved Amendments column will be recorded. Record the total at the bottom. Total all columns.

Original Budget + or - Approved Budget + or - Requested Amendments = Amended Budget

9. Sign the Budget Amendment Worksheet. Academic Departments make sure the Budget Amendment Worksheet is signed by the Dean of the School and the Vice President of Business and Finance. For all other departments, the Supervisor of the Department should sign.

Quick Reference New Federal Uniform Guidance

J. General Provisions for Selected Item of Cost

Note: This Quick Reference Guide is not intended to replace New Federal Uniform Guidance.

Please refer to the complete text for further information concerning allowable costs.

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Advertising	Any activity related to graduation, commencement, and convocations, hospitality suites, production and distribution of magazines, newsletters, radio and television programs, direct mail, displays, maintenance of the University's image, meeting rooms, gifts, purchase of promotional items	Recruitment of personnel required for the performance of the grant, normal acquisition or disposal acquired in the performance of the grant, goods and services for the performance of the grant, communication with the public and press about the activities or accomplishments of the grant
Public Relations	All public and community relations activities unless required by sponsored agreements or consistent with the performance of sponsored agreements	
Alcoholic Beverages	ALL Purchases	
Alumni Activities	ALL, including the preparation of alumni newsletters and maintenance of alumni mailing lists	
Bad Debts	Any loss arising from uncollectible accounts	
Civil Defense Costs	Capital expenditures for civil defense purposes	Reasonable cost of civil defense measures pursuant to suggestions or requirements of civil defense authorities, including first aid training, firefighting, and exit notices
Commencement/Convocation	All Commencement/Convocation costs, including activities pursuant to graduation and hospitality suites.	
Communication Costs		Telephone services, local/long distance calls, postage

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Compensation for Personnel Services		Salaries, wages, and fringe benefits are allowable costs if granted in accordance with established policies and distributed on an equitable basis to all institution activities, charges for the work are performed directly on sponsored agreements.
Contingency Provisions	Contributions to a contingency reserve or similar provision made for events predictable or non-predictable	
Dean of Faculty, Graduate School and their Staff		Salary and expenses
Defense and Prosecution of Criminal/Civic Proceedings, Claims and Patent Infringement	Costs incurred in connection with any criminal, civil, or administrative proceeding if the cost relates to a violation of or failure to comply with any federal, state, local, or foreign stature. Costs of legal, accounting, and consultant services related to a defense.	
Depreciation and Allowances		Building use, capital improvements and equipment, provided they are in the grant/proposal
Donations and Contributions	The value of donated services and property and donations/contributions regardless of the recipients	
Employee Morale, Health, and Welfare Costs and Credits		Costs must be equitably apportioned to all activities of the institution-house publications, first aid clinics, recreational activities, employee counseling
Entertainment	Unit-level holiday, birthday, retirement celebrations, concert tickets, football tickets, other similar costs for hosting, social activities, or recruitment	
Equipment and Other Capital Expenditures	Unapproved purchases	ONLY if approved by the sponsoring agency in advance, buildings, land, equipment

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Executive Lobbying	Attempts to influence any election, fund raising (whether in kind or cash contribution), referendum, initiative or any funding decision on the federal, state, local, or foreign level	Exception: Technical and factual presentations in response to documented requests provided information is readily obtainable and deliverable
Fines and Penalties	Costs resulting from violations or failure of the College to comply with federal, state, local, or foreign laws and regulations	Exception: When incurred as a result of compliance with specific provisions of the sponsored agreement or instructions in writing from the authorized official of the sponsoring agency authorizing in advance
Goods or Services for Personal Use	Costs of goods and services for personal use of the institution's employees are unallowable regardless of whether the cost is reported as taxable income of the employees. Transportation to and from work is considered unallowable	
Housing and Personal Living Expenses	ALL costs of housing, housing allowances, personal living expenses, utilities, furnishings, rent, etc.	
Insurance and Indemnification	No life insurance	Medical liability (malpractice) insurance is allowable cost of research programs ONLY to the extent that humans are the research subject. If insurance is required, approved and maintained pursuant to the sponsored agreement, treated as a Direct Cost and assigned to individual projects based on the manner in which the insurer allocates the risk to the population covered by the insurance.
Interest, Fund-raising, Investment Management	ALL costs related to the solicitation of gifts and bequests, endowment drives, and investment counsel	Costs related to physical custody and control of monies/ securities, costs of interest when association with building or reconstruction on or after 7/82 (see A-110).

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Labor Relations		Labor management committees, employee publications, and other related activity to maintain satisfactory relations between the institution and its employees
Lobbying	Attempts to influence an election, fund-raising (whether in kind or cash contribution), referendum, initiative or any funding decision on state, local, federal level	Technical and factual presentations in response to documented request provided the information is readily obtainable and deliverable
Losses on Other Agreements/Contracts	Any excess of costs over income under any other sponsored agreement or contract	
Maintenance and Repair Costs		Necessary maintenance, repair, and up keep of property
Material Costs		Materials, supplies, fabricated parts related to the sponsored Agreement, withdrawals from stock room
Memberships and Professional Activity Costs	Memberships in any civic or community organization, country club, dining club, and social clubs.	Memberships in business, technical/professional organizations; subscriptions
Meetings and Conferences	Meetings and conferences where the primary purpose is lobbying, fund-raising, alumni activities or any other activity identified as unallowable.	Cost of meetings/conferences for technical information, including costs of meals, transportation, rental of facilities, and other incidental items.
Patent Costs		Cost of preparing disclosures, reports, and documents
Plant Security		Necessary expenditures to comply with security including wages, uniforms, and equipment
Prearrangement Costs	Costs incurred prior to the effective date of the sponsored agency whether or not they could have been allowable after the grant is approved UNLESS approved by the sponsoring agency	
Professional Services Costs		Professional and consulting services, including legal services rendered by external sources

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Profits and losses In Disposition of Plant Equipment or other Capital Assets		Gains and losses on the sale, retirement, or other disposition of depreciable property shall be included in the year in which they occur as credits or charges property can be given in exchange as a part of the purchase price of a similar item
Proposal Costs		Normally should be treated as Facilities and Administrative (FA) Costs whether the proposal is successful or unsuccessful
Rearrangement and Alteration of Facility Costs		Yes, ordinary/normal costs but MUST be preapproved
Reconversion Cost		Restoration or rehabilitation of College facilities prior to commencement of a sponsored agreement
Recruiting Costs	Recruitment materials that use color are unusually large or which also serve other purposes.	Search expenses, including costs of travel, relocation costs for new employees for the sponsored programs
Rental Cost of Building/Equipment		Yes, refer to section C.3 sale and lease back, rental cost under less than arm's length
Royalties and other Costs for Use of Patents		Yes, if necessary for the proper performance of the sponsored agreement
Sabbatical Leave Cost		Yes, provided the institution has a uniform policy for persons engaged in instruction and research
Scholarships and Student Aid Cost		Scholarships, fellowships, other student aid are allowable ONLY when the purpose of the sponsored agreement is to provide training to selected participants, and the charge must be approved by the sponsoring agency (see number 8). Tuition, remission and other forms of compensation provided there is a bona fide employer-employee relationship
Selling & Marketing	ALL, cost of selling and marketing any products or services of the College. Refer to section J1.C/J.34	None, note that recruiting or proposal development is not "Selling or Marketing" in the sense intended here

CATEGORY	UNALLOWABLE ACTIVITIES	ALLOWABLE ACTIVITIES
Specialized Service/Facilities		The use of highly complex or specialized facilities, such as computers, wind tunnels, provided cost of service consists of Direct Costs and its allocable share of Facilities and Administrative costs with deductions
Student Activity Costs	Intramural activities, student publications, student clubs and other student activities, unless specifically provided for in the sponsored agreement	
Taxes		ALL, as long as they are paid or accrued in accordance with Generally Accepted
Transportation		Freight express, cartage, postage related to goods purchased or delivered
Travel	No first-class airfare	Yes, as long as costs are reasonable and traveling on official business, lodging, subsistence, incidental expenses, coach airfare, costs of travel by the College owned vehicle shall not exceed the cost of commercial air travel
Termination Cost Applicable to Sponsored Agreement	Costs of common materials reasonably usable on the institution, other work will not be allowable unless College submits evidence that it could not retain such items at cost without sustaining a loss	<p>If certain costs cannot be discontinued immediately after termination, such costs are generally allowable within limitations.</p> <p>Settlement expenses including accounting, legal, clerical, and similar costs.</p> <p>Rental costs under unexpired leases as long as the amount of such rental claimed does not exceed the reasonable value of the property leased.</p> <p>Loss of value of special tooling, special machinery, and equipment</p>
Trustees		Travel and subsistence costs of trustees or directors (see #J.48 restrictions.)

Intellectual Property (IP) Policy

Fort Valley State Intellectual Property Policy

(Reviewed by the President's Cabinet: 08/16/2018)

I. Policy Title

Intellectual Property (IP) Policy

II. Policy Purpose and Statement

The purpose of this Intellectual Property (IP) Policy is to encourage and recognize research and innovation by members of the Fort Valley State University (FVSU) Community, clarify ownership of intellectual property rights, and provide for the sharing of revenue with the creators of intellectual property.

Patentable inventions and copyrightable materials often come about because of the activities of FVSU faculty, staff, and students who have been aided by the use of University resources. It is important to ensure the utilization of such inventions, creations, and materials for the public good and to expedite their development and delivery to the public.

III. Policy Application and Effective Date

- a. This policy applies to all internal and external FVSU Communities (faculty, staff, students, visitors, etc.)
- b. This policy is effective August 16, 2018.

IV. Definitions

- a. "Biological Materials" shall include, but are not limited to, chemical compounds of biological origin, drugs, mutants, genetically engineered organisms, antibodies, hybridomas, cell lines, sera, supernatants, vectors, antigens, cDNAs, ESTs, and SNPs, and chemical compounds including enzymes and derivatives.

- b. "Commercialization" means the process of marketing and licensing IP to parties outside FVSU who, in turn, will develop products or services based on that IP to sell or license to others. By way of counter example, this term does not apply to FVSU offering a course or seminar for a fee.
- c. "Copyrighted Materials" shall include but not be limited to (1) books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and proposals; (2) lectures, musical or dramatic compositions, unpublished scripts; (3) films, filmstrips, charts, transparencies, and other visual aids; (4) video and audio tapes or cassettes, compact disks, and DVDs; (5) live video and audio broadcasts; (6) programmed instructional materials; (7) mask works; and (8) software and other subject matter or works which qualify for protection under the copyright laws of the United States (see 17 U.S.C. § 102 et seq.) or other protective statutes whether or not registered thereunder.
- d. "Creator" means the individual or group of individuals who authored or were otherwise responsible for the creation of the IP.
- e. "Intellectual Property" shall be deemed to refer to patentable inventions, biological materials, copyrighted materials, software and trade Secrets, whether or not formal protection is sought, and trademarks.
- f. "Mask Work" means a series of related images, however fixed or encoded (1) having or representing the predetermined, three-dimensional pattern of metallic, insulating, or semi-conductor material present or removed from the layers of a semiconductor chip product; and (2) in which the relation of the images to one another is that each image has the pattern of the surface of one form of the semiconductor chip product. (See 17 U.S.C. § 901.)

- g. "Net Equity" means the value of the equity received by the University as a result of transferring rights in the IP, less the University's out-of-pocket expenditures (including legal fees) directly attributable to protecting, developing, and transferring that IP.
- h. "Net Income" means the gross monetary payments the University receives as a result of transferring rights in the IP, less the University's out-of-pocket expenditures (including legal fees) directly attributable to protecting, developing, and transferring that IP.
- i. "Novel Plant Variety" means a novel variety of asexually reproduced plant. (See 7 U.S.C. § 2321 et seq.)
- j. "Patentable Inventions" shall be deemed to refer to subject matter (i.e. a new, nonobvious, useful process, machine, manufacture, composition of matter or improvement thereof), which reasonably appears to qualify for protection under the patent laws of the United States or other protective statutes, including Novel Plant Varieties and Patentable Plants, whether or not patentable thereunder.
- k. "Patentable Plant" means an asexually reproduced distinct and new variety of plant. (See 35 U.S.C. § 161.)
- l. "Scholarly Work" means books, articles and other publications, artistic creations, literary manuscripts, visual and auditory creations, and musical works, irrespective of their medium of storage or presentation. The former items are meant to include software, computer programs, and databases, but only if they are accessory to or part of a scholarly text. Textbooks and related software developed as a Specific University Assignment are not considered a Scholarly Work for the purpose of this definition.
- m. "Significant Use of University Resources" and "Substantial University Support" refer to the use of University resources that is over and above the typical range of resources provided by the University in the ordinary course of employment.

- n. "Software" shall include one or more computer programs existing in any form, or any associated operational procedures, manuals, or other documentation, whether or not protectable or protected by patent or copyright. The term "computer program" shall mean a set of instructions, statements, or related data that, in actual or modified form, is capable of causing a computer or computer system to perform specified functions.
- o. "Specific University Assignment" means IP specifically ordered or commissioned pursuant to a written, signed agreement between the University and Creator.
- p. "Trademarks" shall include all trademarks, service marks, trade names, seals, symbols, designs, slogans, or logotypes developed by or associated with the University. (See 15 U.S.C. § 1127.)
- q. "Trade Secrets" means information including, but not limited to, technical or nontechnical data, a formula, a pattern, a compilation, a program, a device, a method, a technique, a drawing, a process, financial data, financial plans, product plans, or a list of actual or potential customers or suppliers which (1) derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (2) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. (See O.C.G.A. § 10-1-761.)

V. Policy

The IP Policy serves to clarify the circumstances under which IP ownership resides with the creator or with FVSU and aims to establish incentives for the continued development of IP. The Policy is intended to balance the competing interests associated with fairly compensating faculty and staff for their role in developing IP, while also acknowledging FVSU interest in the IP as a byproduct of the creator using the University's name and/or resources. The aspirational desire is that a reasonable percentage of the funds generated from IP will go to the benefit of the faculty,

staff, and students working on the creation of additional research and development across FVSU. This Policy outlines the procedures associated with how FVSU manages IP, the committee assigned to provide administrative oversight, and other definitional and compliance related information relevant to our community members interested in engaging in the pursuit of monetized discovery.

Board of Regents (BoR) policy 6.3.3 et seq., states in relevant part that where royalty income is realized by FVSU, the inventor/creator may appropriately share in the royalty income, with the nature and extent of participation in royalty sharing being subject to the sponsor and FVSU regulations. Ownership of IP developed by faculty, staff, or students of FVSU where the University provides support of their efforts or use of University resources in more than a purely incidental way, unless such resources are available without charge to the public, shall be shared by the inventor/creator and FVSU, with the nature and extent of inventor or creator participation being subject to University regulations. Where a) there is no use, except in a purely incidental way, of FVSU resources in the creation of such IP, b) the IP is not prepared in accordance with the terms of an FVSU contract or grant, and c) the IP is not developed by faculty, staff, or students as a specific FVSU assignment, ownership rights shall reside with the inventor/creator. Ownership rights to, and the nature and extent of participation in royalty derived from, IP developed under any circumstances other than those listed above shall be determined on an individual basis and approved by the President of FVSU or designee.

Payment by FVSU of expenses associated with obtaining copyrights, licenses, or patents will be based upon the recommendation of the Intellectual Property Committee (IPC), subject to availability of funds, and the approval of the President or designee. IP rights accruing to FVSU or its employees and students are in all cases subject to state and federal copyright and patent laws and pre-existing rights of third parties. This IP Policy does not apply to performances by third parties unless otherwise agreed at the time of engagement.

FVSU recognizes and encourages the publication of scholarly works as an integral part of teaching, research, and service. FVSU acknowledges the rights held by individuals who publish

articles, pamphlets, books, and other works created through individual efforts and initiatives that are protected by copyright. FVSU also recognizes that some publications may result from work supported, either partially or completely, by the University. Generally, while FVSU retains the rights to IP developed at the University, the University releases rights in scholarly works, as defined in this Policy, to the creators of such works.

Procedure

What follows is FVSU's procedure for the administration of Intellectual Property, such as patents, copyrights, and software (this is a non-exhaustive list), developed or created by faculty, staff, or students. An Intellectual Property Committee will provide oversight of this policy and procedure. The IPC consists of the incumbents in the following positions:

- a. Chief Legal Officer or Director of Compliance
- b. Director of the Office of Sponsored Programs
- c. Director of Procurement
- d. Dean of each FVSU College or designee
- e. Dean/Director of Research
- f. Faculty member as appointed by Provost
- g. Faculty member as appointed by Faculty Senate President

The IPC members shall serve for an indefinite time. Because they serve at the pleasure of the President, they can be replaced at any time and for any reason. The IPC shall meet as necessary, and shall act in an advisory capacity to the President and Senior Leadership Team.

Prior to the completion of the Intellectual Property's creation, or as early as possible in the creation of IP, the Creator shall seek a determination of whether the development of the IP involves significant use of University resources and may be patented or licensed by the university, by fully and openly disclosing the facts surrounding the creation of IP to either a

member of the IPC, or alternatively to the Creator's Supervisor, Department Chair, Dean or Director. The supervisor or other FVSU official notified by the Creator shall, in turn, advise a member of the IPC of the IP in question. The IPC may request that the Creator submit a Disclosure Form that outlines the characteristics and current progress of the IP. Once the IPC is satisfied that it has received ample information about the IP, FVSU's interest in patenting and/or licensing the disclosed Intellectual Property, and financial interest in same, shall be determined. As a part of its analysis, the IPC must determine whether the Intellectual Property falls into one of the three categories:

- **Inventor/Creator-Owned**, defined as property that was developed without substantial University support and infrastructure, and as such is solely controlled by the inventor/creator with FVSU having no rights of ownership
- **University-Owned**, defined as property that was developed with substantial University support and infrastructure, and to which FVSU is entitled a share of the royalties and benefits of the property as determined by the IPC
- **Jointly-Owned**, with Third Parties, defined as property that the University substantially supported for a portion of the development time, and where ownership, royalties, and benefits of the respective parties need to be determined by the IPC.

Some examples of each category are:

Inventor/Creator-Owned	University-Owned	Jointly-Owned with Third Parties
Any Intellectual Property released to the inventor/creator by FVSU.	Any Intellectual Property developed by faculty and staff that the University patents, copyrights, or trademarks.	Additional patents from continuation of research initiated at another institution.
Textbooks developed by a faculty member with an outside publisher.	Any IP developed by faculty or staff and posted on a University website, subject to pre-existing copyrights	Co-authored work sponsored by both FVSU and an entity outside the University.

Inventor/Creator-Owned	University-Owned	Jointly-Owned with Third Parties
Recordings of performances not sponsored by the University and not recorded on University property.	Recordings of performances sponsored by the University or on University property.	Outside sponsored research (federal, state, corporate, and private sponsors, etc.) developed at the University.
Lecture notes, syllabi, assessment instruments, and materials developed for classes outside the University.	Assessment materials and instruments developed for classes taught at FVSU.	IP developed by faculty and staff with a third party outside the University.
IP created by outside consulting of faculty and staff.	Works for hire done under contract with FVSU where it retains ownership rights.	

After preliminary evaluation by the IPC, the Committee will initiate one or more of the following actions within 45 business days of receiving the disclosure:

1. Initiate an external evaluation of the disclosed IP.
2. If rights in the disclosed IP are subject to the terms of a grant or contract, comply with the terms of the grant or contract.
3. If it is determined that the University has no interest in patenting or licensing the IP, assign title to the disclosed IP to the creator.
4. If it is determined that the University has an interest in patenting or licensing the IP, make a recommendation to pursue development of the IP.

When the disclosure is referred to the IPC for a recommendation, the Committee shall review the disclosure and, if appropriate, hear an oral presentation by the Creator. The Committee may use appropriate ad hoc members, including external agencies, to assist in evaluating the IP.

The IPC shall issue a recommendation regarding the rights and equities in IP created by faculty, staff, or students of FVSU. If the inventor/creator disagrees with the recommendation, an appeal can be filed to the President or designee within 10 working days of receipt of the

recommendation. The appeal will be reviewed by the Senior Leadership Team which will, in turn, issue a recommendation to the President or designee, who will then issue the final institutional decision on the matter. If FVSU does not decide to pursue development of the IP within a reasonable time, generally not to exceed six months from the date that a member of the IPC first learns about the IP in question (unless an extension of time, with a stipulated date for a decision, has been requested), the University shall have waived its rights to pursue development of the IP. If a creator wishes to appeal the decision of the President, or if the decision is not made within the specified time, the creator may appeal to the BOR in accordance with the Bylaws of the Board.

Disclosure

Individuals covered by this Policy shall treat Intellectual Property in a manner that is consistent with Trade Secret laws. The Creator shall execute such declarations, assignments, or other documents as may be necessary in the course of evaluating and protecting the ownership rights of IP to ensure that title in such IP shall be held by FVSU, or by such other parties as may be appropriate under the circumstances.

Investment in Business Entity

A Creator who holds an investment in a business entity that intends to license and commercialize University-Owned Intellectual Property shall disclose the investor status via the FVSU Conflicts of Interest form. Written approval of the Creator's Department Chair, Dean, and Vice President (or in the case of a staff member, the Creator's Supervisor, Division Head and Vice President, as applicable) shall be obtained before the Intellectual Property is licensed. A Creator is encouraged to limit his/her role in such business entity to that of scientific or technical founder, member of a scientific advisory board, or consultant. A Creator should not serve on such entity's Board of Directors or as an officer. When necessary, a Creator may assume such roles only upon the written approval of the applicable Department Chair, Dean, and Vice President (or in the case of

a staff member, the Creator's Supervisor, Division Head and Vice President, as applicable). A Creator who holds an investment in an entity shall not negotiate nor attempt to influence the licensing terms between the University and such entity, unless consent is received by the Intellectual Property Committee (IPC).

With respect to income or equity derived from the commercialization of IP created by a staff member who is not employed within a college, the staff member's division will also receive the 25% allocable to the college in the case of a faculty member. If the Creator is a student, the College percentile remains the same. If the student is a student worker/employee at the time of the creation, the department s/he is assigned to will receive the departmental percentage above. If not, that percentage will be applied to the Campus Life department.

The IPC may recommend additional monetary incentives for filing a provisional patent and/or obtaining a patent award from the U.S. Patent Office.

If a Creator receives extraordinary compensation from or has a significant equity ownership interest in the company to which the IP is licensed, then such Creator shall not participate in any distribution of proceeds. Standard consulting fees shall not be deemed to be extraordinary compensation but shall be disclosed to appropriate University officials in accordance with the University's Conflict of Interest Policy.

When the IP is the result of joint efforts, the Creator's share of Net Income or Net Equity will be divided equally among the Creators, unless a written agreement, signed by all the Creators, provides for a different distribution and is filed with FVSU prior to the first distribution of Net Income or Net Equity.

The President, in consultation with the IPC, may change the distribution of Net Income or Net Equity to the Creator's Department/Unit and/or College, if necessary, due to organizational changes or structures at the University, or if the Creator moves among units at the University. If there is otherwise a lack of clarity on where a specific percentile belongs, the funds will be applied to the benefit of the Office of Academic Affairs.

Distribution of Proceeds

Distribution of proceeds from IP will be weighted based on the contribution of the University to the development of the IP. Unless there is some alternative agreement between the parties based upon a recommendation of the IPC and with the approval of the President or Designee, the following will apply:

- A. When income is derived from the commercialization of IP created by a student, staff, or faculty member, Net Income will be distributed as follows.

Net Income Distribution

	Creator(s)	Creator's Dept./Unit	Creator's College	FVSU Research
First \$10,000 of Accumulated Net Income	100%			
Accumulated Net Income Over \$10,000	25%	25%	25%	25%

- B. When equity is derived from the commercialization of IP created by a student, staff, or faculty member, Net Equity will be distributed as follows.

Equity Distribution

	Creator(s)	Creator's Dept./Unit	Creator's College	FVSU Research
	25%	25%	25%	25%

With respect to income or equity derived from the commercialization of Intellectual Property created by a staff member who is not employed within a college, the staff member's division will also receive the 25% allocable to the college as indicated in the case of a faculty member. If the Creator is a student, the College percentile remains the same. If the student is a student worker/employee at the time of the creation, the Department the student worker/employee is assigned to will receive the departmental percentage as indicated in the chart above. If not, that percentage will be applied to the Campus Life department.

The IPC may recommend additional monetary incentives for filing a provisional patent and/or obtaining a patent award from the U.S. Patent Office.

If a Creator receives extraordinary compensation from or has a significant equity ownership interest in the company to which the IP is licensed, then such Creator shall not participate in any distribution of proceeds. Standard consulting fees shall not be deemed to be extraordinary compensation but shall be disclosed to appropriate University officials in accordance with the University's Conflict of Interest Policy.

When the IP is the result of joint efforts, the Creator's share of Net Income or Net Equity will be divided equally among the Creators, unless a written agreement, signed by all the Creators, provides for a different distribution and is filed with FVSU prior to the first distribution of Net Income or Net Equity.

The President, in consultation with the IPC, may change the distribution of Net Income or Net Equity to the Creator's Department/Unit and/or College, if necessary, due to organizational changes or structures at the University, or if the Creator moves among units at the University. If there is otherwise a lack of clarity on where a specific percentage belongs, the funds will be applied to the benefit of the Office of Academic Affairs.

Publication

Nothing in this Policy shall be construed as affecting the rights of a Creator to publish the results of a scientific work, except that the Creator must agree to observe a reasonable period of delay in publication or external dissemination if the University so requests, and such a delay is necessary to permit the University to secure protection for any IP disclosed to it by the Creator.

Collaboration

Collaboration between FVSU personnel and persons not employed or associated with the University, including researchers at other universities or companies, can result in the development of IP jointly owned by FVSU and other persons or their employers. Protection and commercialization of such joint IP can be difficult without extensive cooperation and written agreement among the Creators. Accordingly, it is important for University personnel involved in, or contemplating collaborative efforts with outside entities which may result in the development of IP to advise their immediate supervisors, the Office of Sponsored Programs, and/or the Research Director of such activities. An agreement in writing between the parties will need to be signed prior to the collaboration.

Heirs and Assigns

The provisions of this Policy shall inure and be binding to the heirs and assigns of those individuals covered by this Policy.

Retention of Ownership

Ownership of IP will normally be retained by FVSU. This is to ensure that all licensable knowledge, processes, and devices created or invented will be available for public use. Licensing agreements granted by FVSU will contain a due diligence provision which will require that the license revert to FVSU within a reasonable time if the licensee does not make the IP available to the public.

Compliance

Failure to comply with the provisions of this Policy is a violation of FVSU policies and may result in discipline of an individual in accordance with applicable FVSU policies and procedures.

VI. Forms

VII. Appendices

N/A

VIII. Related Resources

USG BoR Policy: 6.3 Intellectual Properties: <https://www.usg.edu/policymanual/section6/C352>

IX. Responsible Party

Questions regarding this policy should be directed to:

Job Title: Director of Contracts and Compliance

Department: Legal Affairs and Compliance

Phone: 478-825-4284

INTELLECTUAL PROPERTY DISCLOSURE FORM

Please visit <https://www.fvsu.edu/wp-content/uploads/2018/08/Intellectual-Property-form-8162018.pdf> for a Fillable Form.

For Record and Evaluation

The purpose of this form is to record and provide information for the evaluation of research results which are of potential commercial value. It is important that the University has an idea of the potential commercial value of the technology, the target markets, and the competitors.

Please use additional sheets, when necessary, as some questions will require more space than is provided. All inventors must be listed on this form. Please complete this form as fully as possible.

Inventor(s)

Please complete details for each inventor. Continue on a separate page if necessary.

Name	1.	2.	3.
Title			
Employment status*			
Work Address			
Home Address			
Email			
Telephone			
Nationality			

* *FVSU Employee, FVSU Student, or Non-FVSU employee (please state employer's name and address), or Non-FVSU student (please state degree and institution's name and address), or Academic Other (please describe in full).*

Title of Invention

Please write a short descriptive title that we can use for your invention
What is it? (please select as appropriate) Material/compound <input type="checkbox"/> Process/method <input type="checkbox"/> Software Device/prototype <input type="checkbox"/> Potential Drug Target <input type="checkbox"/> Diagnostic <input type="checkbox"/> Teaching/Learning Materials <input type="checkbox"/> Service <input type="checkbox"/> Other <input type="checkbox"/> <i>*If "other" please describe:</i>
When and where the invention was first described in writing?

Description of Invention

Please include a description of the invention, **attaching additional** pages as **needed**. Please also attach relevant drawings, chemical structures and data.

What is the purpose of the invention?
What problem does it solve?
What are the key novel elements of the invention?
What are the advantages and disadvantages of this invention compared to existing work?
Please describe why this invention is not obvious to someone who is knowledgeable in the area?
What is the development stage of the invention?
What other implementations/variations of this invention would be possible?
What would be the use for the final "product"?
Are there any other uses for the invention?

Disclosure

It is important for the University to know if your invention has been made public, as this may affect the strength of any patent application and the commercial potential.

Written disclosures

Please list, with dates, any past and planned written publications presenting the invention or data in this invention (journal/papers/abstracts/posters/Internet/other).

a. Past:

b. Planned:

Oral disclosures

Please list, with dates, any past and planned oral disclosures of the invention (e.g. presentations at internal or external seminars, disclosure to a company under a confidentiality agreement etc.) and any demonstrations of the invention.

a. Past:

b. Planned:

Future work

Please briefly outline any future research or development work that is planned for this invention.

Prior Art

a. Have you reviewed the literature for any related articles, papers or patents? If so, please give details, listing references when possible. The information should cover the state of the art prior to your invention, and should include patent applications, key scientific literature, and/or public oral communications.

b. Please also list your own publications (including articles, abstracts, posters, web references) which are in the field and which are not listed above.

Research Funding

The University must know whether other organizations may have rights to your invention or to any technology that you have developed, so that agreements over protection and exploitation rights can be reached.

Period of research relevant to the creation of the intellectual property		
From:		To:
Was the research leading to this intellectual property during that period or any part of it, funded in whole or in part by a third party? (e.g. company, charity, research council, government)		
If NO, please state how the work was funded?		
If YES, please name the third party and the grant(s)/funding received:		
Funding Source	Grant/Contract Period	Project Code
If applicable, list any third party owned materials and/or know-how that this invention uses, including the name of the third party:		
Were any of the above materials obtained under a Materials Transfer Agreement? (Y/N)		
If YES, name the Company/Institution with which the Agreement was made.		
If NO, how were the materials acquired?		
Was any part of the invention made using biological materials obtained from humans?		
(Y/N)		
If YES, provide details:		

Is this invention linked to the subject matter of other research agreements, consultancies or other contracts (not listed above) that currently exist, or have expired, or are being negotiated? (Y/N)

If 'YES' please provide details:

Was other company funded research taking place in your group during the period in question? (Y/N) If 'YES', please list the source of the funding, dates of the grant, and whether it was in a closely related, broadly related or not related subject area:

Funding source	Grant/contract	Closely, broadly or not related area

Inventors' contributions

Please give a brief description of each of the roles of those named in this invention disclosure:

Signatures

Each person listed as an inventor should sign and date in the space below. By signing this document, you verify that the information given above is correct to the best of your knowledge

and belief and you verify that you have read and understood The University of Reading Code of Practice on Intellectual Property, Commercial Exploitation and Financial Benefits.

Name	Signature	Date

Thank you for taking the time to complete this form. Please promptly return it to an Intellectual Property Committee Member.

University System of Georgia Intellectual Property Policy

Please visit <https://www.usg.edu/policymanual/section6/C352>

Preamble

The USG is dedicated to teaching, research, and the extension of knowledge to the public. The personnel at its institutions recognize the production of new knowledge and the dissemination of both old and new knowledge as two of their major objectives.

Inherent in these objectives is the need to encourage the development of new and useful devices and processes, the publication of scholarly works, and the development of computer software.

Such activities

1. contribute to the professional development of the faculty, staff, and students involved;
2. enhance the reputation of the institutions concerned;
3. provide additional educational opportunities for participating students; and,
4. promote the general welfare of the public at large.

Patentable inventions and materials often come about because of activities of USG faculty, staff, or students who have been aided wholly or in part through the use of USG resources. It becomes significant, therefore, to insure the utilization of such inventions for the public good and to expedite their development and marketing. The rights and privileges, as well as the incentive, of the Inventor or Creator must be preserved so that his/her abilities and those of other faculty, staff, or students at USG institutions may be further encouraged and stimulated.

The USG recognizes and encourages the publication of scholarly works as an integral part of the processes of teaching, research, and service. The Board of Regents acknowledges that faculty, staff, or students regularly prepare for publication, usually through individual effort and initiative, articles, pamphlets, books, and other scholarly works that may be subject to copyright and that may generate royalty income for the author. Publication may also result from work

supported either partially or completely by the institution. With the advent of innovative techniques and procedures, the variety and number of materials which might be created in an institution community have increased significantly, causing the ownership of such copyrightable materials to become increasingly complex.

The USG recognizes the need for enhanced development and dissemination of software technology as a means of expressing both old and new knowledge. Inasmuch as the Board is aware of the dynamic nature of software and that the value of Intellectual Property comes from the ability of its owner to control its use and that such value is directly related to the degree of protection it enjoys under the law, the Board encourages USG institutions to protect such expressions of knowledge by the utilization of appropriate intellectual property laws and the creation of comprehensive software technology transfer policies and procedures.

In many instances, Intellectual Property will become, in whole or in part, the property of the Board of Regents. When this policy speaks to ownership of Intellectual Property by institutions, the Board shall be the owner, and unless ownership has been transferred by the Board to an affiliated nonprofit organization, authority to further allocate or to dispose of rights in such Intellectual Property is hereby delegated to the presidents of the institutions. Management of the Board's institution-specific or institutionally-identifiable Intellectual Property is entrusted to the presidents (BOR Minutes, February 2007).

The foregoing considered, the Board of Regents of the University System of Georgia does hereby establish the following policy with respect to the development, protection, and transfer of rights to Intellectual Property resulting from the work of its faculty, staff, or students.

Definitions

Intellectual Property

Intellectual Property shall refer to patentable and/or copyrighted materials, trademarks, software, and trade secrets, whether or not formal protection is sought.

Patentable Materials

Patentable Materials shall refer to items other than software that reasonably appear to qualify for protection under the patent laws of the United States or other protective statutes, including Novel Plant Varieties and Patentable Plants, whether or not patentable thereunder.

Copyrighted Materials

Copyrighted Materials shall include the following:

1. books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and proposals;
2. lectures, musical or dramatic compositions, and unpublished scripts;
3. films, filmstrips, charts, transparencies, and other visual aids;
4. video and audio tapes or cassettes;
5. live video and audio broadcasts;
6. programmed instructional materials;
7. mask works; and,
8. other materials or works other than software that qualify for protection under the copyright laws of the United States (See 17 U.S.C. § 102 et seq.) or other protective statutes whether or not registered thereunder.

Software

Software shall include one or more computer programs existing in any form, or any associated operational procedures, manuals or other documentation, whether or not protectable or protected by patent or copyright. The term “computer program” shall mean a set of instructions, statements, or related data that, in actual or modified form, is capable of causing a computer or computer system to perform specified functions.

Trademarks

Trademarks shall include all trademarks, service marks, trade names, seals, symbols, designs, slogans, or logotypes developed by or associated with the USG or any of its institutions. (See 15 U.S.C. § 1127.)

Trade Secrets

Trade Secrets means information including, but not limited to, technical or nontechnical data, a formula, a pattern, a compilation, a program, a device, a method, a technique, a drawing, a process, financial data, financial plans, product plans, or a list of actual or potential customers or suppliers that

1. derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and
2. is the subject of efforts that are reasonable under the circumstances to maintain its secrecy (See O.C.G.A. § 10- 1-761).

Patentable Plant

Patentable Plant means an asexually reproduced distinct and new variety of plant (See 35 U.S.C. § 161).

Mask Work

Mask Work means a series of related images, however fixed or encoded

1. having or representing the predetermined, three-dimensional pattern of metallic, insulating, or semi-conductor material present or removed from the layers of a semiconductor chip product; and,
2. in which series the relation of the images to one another is that each image has the pattern of the surface of one form of the semiconductor chip product (See 17 U.S.C. § 901).

Novel Plant Variety

Novel Plant Variety means a unique variety of sexually reproduced plant (See 7 U.S.C. § 2321 et seq).

Determination of Rights and Equities in Intellectual Properties

Sponsor-Supported Efforts

The grant or contract between the sponsor and the institution, under which Intellectual Property is produced, may contain specific provisions with respect to disposition of rights to these materials. The sponsor may

1. specify that the materials be placed in the public domain;
2. claim reproduction, license-free use, or other rights; or
3. assign all rights to the institution. In those cases where royalty income is realized by the institution, the Inventor or Creator may appropriately share in the royalty income. The nature and extent of Inventor or Creator participation in royalty income, however, shall be subject to sponsor and institution regulations.

Institution-Assigned Efforts

Ownership of Intellectual Property developed as a result of assigned institutional effort shall reside with the institution. However, sharing of royalty income with the inventor or creator is authorized as an incentive to encourage further development of Intellectual Property. The nature and extent of Inventor or Creator participation in royalty income, however, shall be subject to institution regulations.

Institution-Assisted Individual Effort

Ownership of Intellectual Property developed by faculty, staff, or students of the institution where the institution provides support of their efforts or use of institution resources in more than a purely incidental way, unless such resources are available without charge to the public, shall be shared by the Inventor or Creator and the institution. The nature and extent of Inventor or Creator participation in royalty income, however, shall be subject to institution regulations.

Individual Effort

Ownership rights to Intellectual Property developed by faculty, staff, or students of the institution shall reside with the Inventor or Creator of such Intellectual Property provided that there is no use, except in a purely incidental way, of institution resources in the creation of such Intellectual Property, unless such resources are available without charge to the public.

1. the Intellectual Property is not prepared in accordance with the terms of an institution contract or grant.
2. the Intellectual Property is not developed by faculty, staff or students as a specific institution assignment. The general obligation to produce scholarly and creative works does not constitute a specific assignment for this purpose. The nature and extent of the use of institution resources shall be subject to institution regulations and shall be determined by the institution.

Other Efforts

Ownership rights to Intellectual Property developed under any circumstances other than those listed in Sections 6.3.3.1 through 6.3.3.4 above shall be determined on an individual basis and approved by the president of the institution or his/her designated representative. The nature and extent of Inventor or Creator participation in royalty income, however, shall be subject to institution regulations.

Institutional Procedures

Each USG institution is required to develop policies and procedures for the administration of this Intellectual Property Policy. Each President shall appoint an institutional Intellectual Property committee, consisting of no fewer than three or more than nine members, one of whom shall be designated by the President to serve as chair. In each case the committee shall include a representative of the Office of Fiscal Affairs of that institution. The committee shall meet as necessary, and shall act in an advisory capacity to the President or Designee. Faculty, staff and students shall promptly report to the committee in writing, through the appropriate channels, all Intellectual Property invented or created by them that is reasonably likely to have commercial value.

The Intellectual Property Committee of each institution shall recommend to the President or Designee the rights and equities in Intellectual Property created by faculty, staff, or students of the institution. Each institution's policies shall provide for an appeal procedure within the institution in the event of a disagreement as to the ownership and use of such materials.

In the implementation of its policies and procedures, each institution may elect, through its Intellectual Property Committee and with the approval of the President, any of the following courses:

1. Develop and manage its licensing program through an independent assistance organization so as to secure competent evaluation of Intellectual Property, expeditious

filing of applications for patents, or other protection and aggressive licensing and administration of Intellectual Property.

2. Develop and manage its licensing program through an affiliated nonprofit corporation such as the Georgia State University Research Foundation, Inc., the Georgia Tech Research Corporation, or other nonprofit organizations established for this purpose.
3. Develop and manage independently its own licensing program.
4. Release Intellectual Property to which the institution has title or an interest to the Inventor or Creator for management and development as a private venture after the execution of an agreement providing for a suitable division of royalty income.

The foregoing notwithstanding, each institution may establish individual committees to address patents, copyrights, and software. Each such committee shall be appointed by the President and consist of no fewer than three and no more than nine members, one of whom shall be a representative of the Office of Fiscal Affairs of that institution. They shall carry out the same functions as the Intellectual Property Committee with respect to each type of intellectual property.

Trademarks

All trademarks of University System of Georgia (USG) institutions and those arising out of research by USG institutions constitute property of the Board of Regents of the University System of Georgia and shall be made in the name of the Board of Regents of the University System of Georgia. Applications for registration, use, and licensing of such trademarks shall be governed by the policies of the Board.

Trademarks arising out of research done by a USG institution pursuant to an agreement with a cooperative organization shall be the property of such cooperative organization and such organization may file all appropriate applications and other documents necessary to protect such trademarks and may exercise all other rights consistent with ownership of the trademarks.

Authorization by the Board of Regents shall be required for the private or commercial use by any person, firm, association, corporation, institution, or other entity of any trademark developed by or associated with the USG or any of its institutions.

The presidents of USG institutions are authorized to execute on behalf of the Board of Regents

1. certain applications for trademark and service mark registration;
2. declarations of continuing use;
3. declarations concerning use of specimens;
4. conversions of applications from Principal to Supplemental Register;
5. applications for renewal; and
6. license agreements that permit the manufacture, sale, use, or distribution of services or goods bearing USG trademarks representative of the institution.

Notice of trademark and service mark applications shall be sent to the Chancellor within 10 days after filing.

License agreements shall name the Board of Regents as licensor and shall be effective for the period of time as specified in the agreement. All such license agreements shall be executed on forms approved by the Attorney General and, if not, shall be null and void and of no effect.

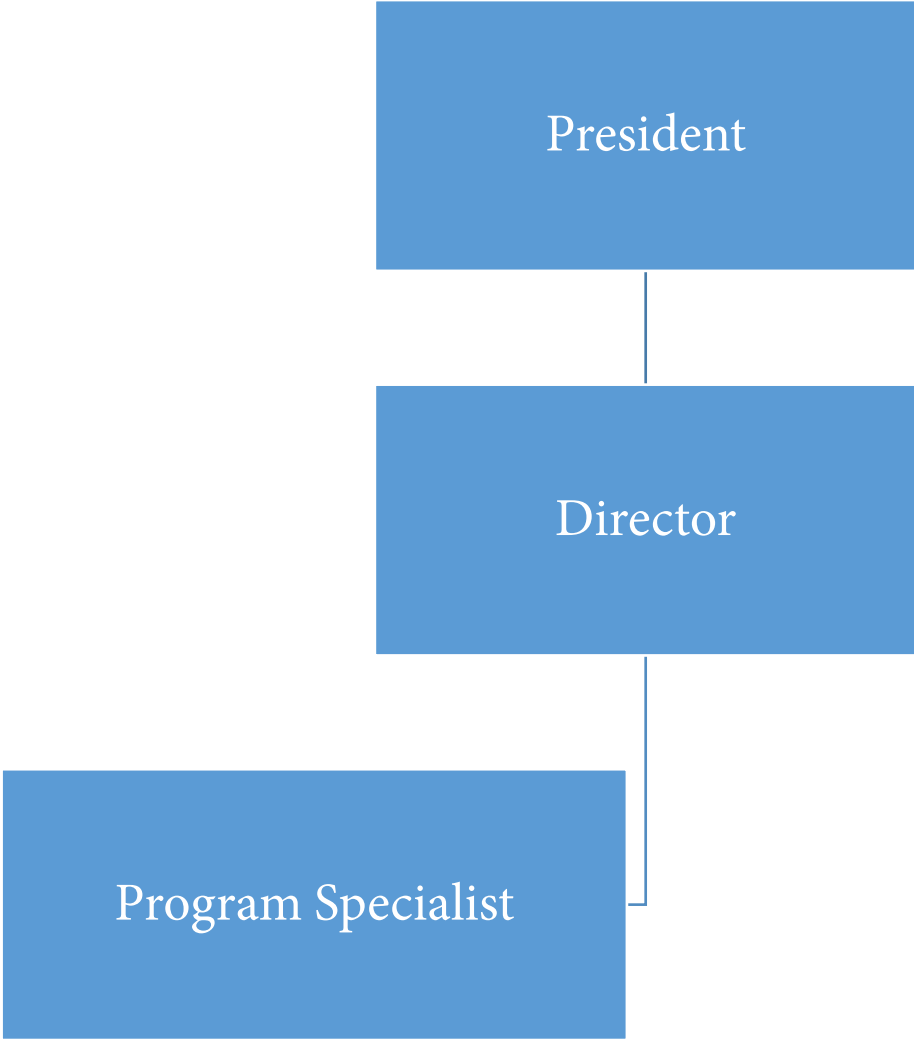
Funds derived from such license agreements shall remain at the institution, shall be used for educational purposes, and shall not inure to any individual. A signed or confirmed copy of each license agreement shall be filed in the office of the chief business officer of the institution.

The content of licensing agreements authorized as aforementioned shall follow guidelines as established and promulgated by the Chancellor.

Filing of Institutional Policies

Each institution shall file its Intellectual Property policy with the Office of Legal Affairs in the University System Office.

Title III –Part B Organizational Chart



Time and Effort Policy

This section provides policy and procedures for completing the Time and Effort Report Form (T&E) by Fort Valley State University (FVSU). Application of the following policy and procedures will ensure that FVSU complies with all applicable federal laws and regulations.

Overview

The Federal government's New Federal Uniform Guidance (Costing Principles for Higher Education Institutions) provides that "All Federal agencies that sponsor research and development, training, and other work at educational institutions shall apply the provisions of the Circular in determining the costs incurred for such work."

The New Federal Uniform Guidance regulations require that each institution maintain an acceptable effort reporting system. The purpose of an effort reporting system is to provide a reasonable basis for distributing salary charges among direct activities (sponsored research, instruction, and public service) and between direct and indirect activities. The requirement applies to employees whose time or effort is charged in whole or in part to U.S. government funds. This includes: (1) grants and contracts with the federal government, (2) sub-awards that include federal reporting requirements, and (3) employees who have cost-sharing commitments on sponsored projects.

FVSU has established a Time and Effort Reporting System in order to comply with the requirement. T&E forms are required to be certified according to campus instructions. Each T&E will account for 100 percent of the activity for which the employee is compensated and which is required in fulfillment of the employee's obligation to the institution. FVSU utilizes a planned confirmation system to document the effort of all individuals when all or a portion of their salaries are charged to a sponsored project. Under this method, the distribution of salaries and wages of professorial and professional

staff applicable to sponsored agreements is based on budgeted, planned, or assigned work activity, updated to reflect any significant changes in work distribution. The Personnel Action Notice (PAN) initiates the planned confirmation process. The T&E form is the source document that supports the charges identified on the PAN. It is essential that this data be based on reasonable estimates of actual effort expended in the various effort categories.

Students – Non-Exempt Employees

FVSU students (graduate assistants, student assistants, and work-study) for time and effort reporting purposes will be considered certified if the time sheets are signed/certified by the appropriate Department personnel and is submitted via ADP system. This policy is supported by 2 C.F.R. Part 220 (New Federal Uniform Guidance).

“Where the institution uses time cards or other forms of after-the-fact payroll documents as original documentation for payroll and payroll charges, such documents shall qualify as records for this purpose” (J10b(2)(f)).

This policy is in accordance with the 2004 DOL Wage-Hour Administrator’s ruling that schools may continue to rely on the June 28, 1994, DOL Opinion Letter #1263 that research assistants performing research under the supervision of a faculty member in a research environment will be considered students rather than employees for purposes of the FLSA, even though the student receives a stipend for services under the grant or contract.

Definition of Terms

Sponsored Instruction means specific instructional or training activities (except research training) established by grant, contract or cooperative agreement and that are budgeted and accounted for separately by sponsored account.

Research means all research and development activities established by grant, contract, or cooperative agreement and that are budgeted and accounted for separately by sponsored funds. This term includes research and development activities that are sponsored by federal and non-federal agencies and organizations, as well as, those that are separately budgeted by the institution under an internal allocation of institutional funds (University Research).

Public Service means specific public service activities that are established by grant, contract, or cooperative agreement that are budgeted and accounted for separately by sponsored account. A separate line should be completed for each sponsored project and associated effort.

Academic Instruction means the teaching and training activities of the University that are supported by University funds and are not related to a sponsored project. This includes activities such as test grading and preparation, class monitoring, demonstrations for student groups, scheduling, revising existing/designing new academic courses, thesis/dissertation supervision, serving on student research and academic project committees, etc.

Cost Sharing means specific research and development activities in support of a sponsored research project that is funded by University funds. This category would include both mandatory and voluntary cost sharing on sponsored research projects. Sponsored project account number or companion account number must be specified.

Departmental Administration means those activities performed for administrative and supporting services that benefit common or joint departmental activities or objectives in academic deans' offices, academic departments and divisions, and organized research units. Organized research units include institutes, study centers, and research centers.

Fort Valley State University Employees Subject to Time & Effort Reporting (T&E)

Employees Subject to Time and Effort Reporting

FVSU employees who meet the following criteria are covered by the time and effort reporting system:

1. Employees with any portions of their salary charged directly to a sponsored program;
2. Employees who have a portion of their salary charged to a major function of the university (i.e. Instruction, Research, Public Service, or Departmental Administration).

Note: If an employee did, in fact, expend effort on an activity described above then that employee should request a T&E form from the Office of Sponsored Programs. The form can be downloaded from <http://www.fvsu.edu/Forms/> (Appendix, page 145).

It is the responsibility of the employee (or certifying responsible official, if other than the employee) to identify and properly report effort expended.

The exceptions to the above criteria are any employees whose effort is accounted for by the time sheets (i.e. student assistants, temporary employees, etc.), part-time instructors, and graduate teaching assistants. A T&E will not be generated for these employees.

Departmental Administration

The Time & Effort Reporting System will support personnel effort expended for departmental administration. Departmental administrative effort includes, but is not limited, to the following:

Supervisory or managerial activities for the department;

- Administering personnel policies (appointments, evaluations, promotions, and review of T&E reports);

- Preparation and review of faculty workload assignments (including assignment of duties to sponsored agreements);
- Preparation and review of departmental budget documents;
- Preparation and/or approval of purchase requisitions, travel authorizations, consultant forms, and miscellaneous payment requests;
- Preparation and review of payroll documents;
- Space management and assignment;
- Property inventory and control; and
- Effort directly related to administration of contracts and grants within the department.

Per A-21 Department Administration only applies to faculty with administrative appointments and other personnel with administrative appointments such as office manager, secretaries, and clerks. Salaries of department heads are, by virtue of their position, deemed to be all or in part administrative in nature. Organizational units such as institutes, study centers, and research centers must also support any departmental administration through the use of Time & Effort Reports.

Time & Effort Reporting Procedure

Process

Under the Fort Valley State University Time and Effort Reporting System, the distribution of salaries and wages will be supported by Time and Effort reports as follows:

1. Time and Effort Reports will reasonably reflect the percentage distribution of efforts expended by FVSU Faculty/Staff involved in federally-funded and privately-funded grants, contracts, and cooperative agreements.

2. For each federally-funded or state-funded project, a Time and Effort Reporting Form must be completed and signed by each person working on the project, provided that the approved grant, contract, or cooperative agreement commits University personnel time to the project, regardless whether such time is paid by external funds or is an unpaid contribution, i.e., an in-kind match.
3. Each report must reflect 100% of the effort for which the employee receives compensation and must not exceed 100%.
4. The report shall reasonably reflect the percentage of effort applicable to each sponsored program.
5. Time and Effort Reporting Forms will be certified by a person having firsthand knowledge of the employee's activities. Certification is indicated by a countersign on the form.

Employees Subject to Time & Effort Reporting

To fully document all time spent in grant activities, all employees, fully or partially supported by grant funds, are required to complete Time and Effort Report forms and secure signature from Director or immediate supervisor.

Reporting Frequency

The New Federal Uniform Guidance requires “professorial and professional staff prepare the reports each academic term, but no less frequently than every six months.” All Faculty, Staff and Graduate Assistants who meet the criteria referenced above must complete a Time and Effort Form each semester using the table below:

Semester	Time Period	Time & Effort Due
Fall	August 1 - December 31	January 15

Semester	Time Period	Time & Effort Due
Spring	January 1 - April 30	May 15
Summer	May 1 - July 30	August 15

Planned Confirmation Procedures

The New Federal Uniform Guidance recognizes planned confirmation as an acceptable method of reporting payroll distribution for T&E reporting purposes. The following information is provided for assistance in completing Time & Effort Reports:

- The Time & Effort form must account for all effort for which FVSU compensates the individual. This normally includes all effort expended on FVSU compensated sponsored research and other sponsored agreements, administration, instruction, and department research, public service and other institutional activity.
- Allocations of effort among different activities must be made on a reasonable, equitable, and consistent basis.

Allocation of Effort Among Related Activities

The Time and Effort Report form provides for various effort categories:

Sponsored

- Instruction means specific instructional or training activities (except research training) established by grant, contract, or cooperative agreement and that are budgeted and accounted for separately by sponsored account.
- Research means all research and development activities established by grant, contract, or cooperative agreement and that are budgeted and accounted for separately by sponsored account. This term includes research and development activities that are sponsored by federal and non-federal agencies and

organizations, as well as those that are separately budgeted by the institution under an internal allocation of institutional funds (University Research).

- Public Service means specific public service activities that are established by grant, contract, or cooperative agreement and are budgeted and accounted for by sponsored account. A separate line should be completed for each sponsored project and associated effort.

Academic

Instruction means the teaching and training activities of the University that are supported by University funds and are not related to a sponsored project. This includes activities such as test grading and preparation, class monitoring, demonstrations for student groups, scheduling, revising existing/designing new academic courses, thesis/dissertation supervision, serving on student research and academic project committees, etc.

Cost Sharing

The portion of total project costs of a sponsored agreement that is not borne by the sponsoring agency. Matching is another common term used to describe cost sharing. There are primarily three types of cost sharing that may occur on sponsored projects: Mandatory cost sharing, Voluntary Committed cost sharing, and Voluntary Uncommitted cost sharing. A Cost Share Form is required for Mandatory and Voluntary Committed cost sharing. A Cost Share Form is not required for Voluntary Uncommitted cost sharing.

Mandatory Cost Sharing

This is cost sharing that is required either by statute or by administrative regulation. The requirement for such cost participation is explicitly set forth in program announcements or guidelines issued by the sponsor (e.g., in RFAs, RFPs, and PAs) and is a requirement

for eligibility to participate in the project and will be specifically identified within the University's proposal. For example, the National Science Foundation requires mandatory cost sharing for some of its projects. *Cost Share Form is required.*

Voluntary Committed Cost Sharing

This is cost sharing that is not required by the sponsor, but which is included voluntarily in the University's proposal to the sponsor. Once the proposed cost share has been accepted by the sponsor, the University is then obligated to meet the cost sharing amount. For example, Voluntary Committed Cost Sharing would be when a Principal Investigator (or other project personnel) commits to spending 15% effort on the project but requests that the sponsor funds only 5% of this effort. In this case, the remaining 10% effort (15% minus 5%) was not a requirement for proposal submission but was included at the discretion of the PI. Therefore, the University is committed to 10% cost sharing for salaries and fringe benefits for the PI (or other project personnel) in this proposal. *Cost Share Form is required.*

Voluntary Uncommitted Cost Sharing

This is cost sharing that is neither mandatory nor voluntary committed. It represents contributions by the University to a sponsored project that were not required by the awarding sponsor and were not volunteered in the University's proposal to the sponsor. Voluntary Uncommitted Cost Sharing is not reported back to the sponsor. For instance, Voluntary Uncommitted Cost Sharing occurs when the Principal Investigator's effort is greater than what was committed in the proposal. For example, the proposal stated that the PI's effort would be 10%, but in reality, the PI's actual effort was 15%. *Cost Share Form is required..*

Associated funding to support effort commitments can be in the form of

- direct payment from the sponsored project, and/or

- payment from other non-federal sources, normally University sources (generally known as “cost share”).

Instructions for Completing Personnel Effort Reports

1. The Office of Sponsored Programs forwards email notifications to all employees meeting T&E criteria that T&E Reports are due in four weeks.
2. The employee or responsible official records the percent of effort performed in each activity category on the effort form. The total effort reported in this column must total 100%.
3. The employee or responsible official having first-hand knowledge of all effort that was expended in the position specified must complete or review and certify the report.
4. Upon completion, the reports are forwarded to the Office of Sponsored Programs Post-Award Coordinator for review.
5. The Post-Award Coordinator reviews for compliance with grant or agreement guidelines.
6. Reports are forwarded to HR/Payroll for review.
7. HR/Payroll reviews and certifies reports by reconciling the report with payroll ledgers. Allocation of Time & Effort will be adjusted when necessary to reflect actual activity where different from projected.
8. Reports are returned to Office of Sponsored Programs for official archiving.



Fort Valley State University
 1005 State University Drive
 Fort Valley, GA 31030

PROFESSIONAL WORKLOAD ASSIGNMENT AND CERTIFICATION OF WORKLOAD

TIME & EFFORT REPORT

(The person named in this report has been assigned the following for the reporting period specified.)

Employee Name: James L. DOE
 Title: Federal Awards Coordinator
 Faculty: Staff: X
 Employee Ext: X7055
 Department: Federal Programs
 Employee ID Number: 288888
 Date Submitted: 1/6/2014
 QUESTIONS: Please call (478) 825-1062

Project Title	Account Number/Department Number	Project Description/Responsibility to Project	Effort %	Reporting Period	Funding Source	Salary Charges this reporting period
Sponsored Restructuring Administrative Management in an Federal Awards Research/Programs/Projects Office	20000-18500-61000-1054000-334504	Provide day to day administrative management of the Federal Awards Office. Providing guidance to all internal and external constituents as it relates to federal funding and the university's mission.	80%	Aug. 1, 2014- Dec. 31, 2014	<input type="checkbox"/> Cost Share <input type="checkbox"/> In-Kind <input type="checkbox"/> Matching <input checked="" type="checkbox"/> External <input type="checkbox"/> State	\$26,666.64
Academic		SAMPLE			<input type="checkbox"/> Cost Share <input type="checkbox"/> In-Kind <input type="checkbox"/> Matching <input type="checkbox"/> External <input type="checkbox"/> State	
Education & General /Tuition	10600-1002201-12100-11000-511100	The Department of Business Administration and Economics-Contract Management	20%	Aug. 1, 2014- Dec. 31, 2014	<input type="checkbox"/> Cost Share <input type="checkbox"/> In-Kind <input type="checkbox"/> Matching <input type="checkbox"/> External <input checked="" type="checkbox"/> State	\$6666.66
TOTAL EFFORT 100%						\$33,333.30

CERTIFICATION: I certify that the distribution of effort shown above is true and reflects a reasonable estimate of the percentage of TOTAL effort at FVSU that was spent on the award(s). Falsifying this form is punishable by federal law under the False Claims Act Amendments, 31 U.S. Code Sections 3729 & 3721.



HR/Payroll certification (Please initial)
 Revised: March 2011

Employee's Signature: _____

Date 1/6/2014

Supervisor's Signature: _____

Date 01/06/14

Supervisor, PLEASE PRINT NAME: Mae Lynn Smith

Quarterly Progress Report

TITLE III PROGRAMS

Fort Valley State University

QUARTERLY PROGRESS REPORT

Budget Period: _____

Activity Director: _____

Activity Title: _____

Please mark the Reporting Period: Oct-Dec Jan-Mar Apr-Jun Jul-Sept

Focus Area:

- Academic Quality
- Student Services and Outcomes
- Fiscal Stability
- Institutional Management

PLEASE RESPOND TO EACH ITEM IN THE ORDER GIVEN:

1. **PROJECT SUMMARY: Provide a clear Summary of your Program/Activity that includes its overall purpose and identified goal(s).**

Click or tap here to enter text.

2. **OBJECTIVES:** List each of the Objectives for your Program/Activity as stated in the Continuation Application or those revised and submitted to the Title III Director’s Office for approval to the Department of the Education.

Click or tap here to enter text.

3. **OBJECTIVE(S) STATUS:**

- a. **Provide a complete status report with verifiable qualitative and quantitative data (where applicable, include graphs, tables or charts with baseline data) on each objective.**

Click or tap here to enter text.

- b. **Is Steady Progress being made on achieving stated Objective: Explain by listing the implementation strategies being used to achieve each Objective?**

Click or tap here to enter text.

- c. **State Intended Outcome of each Objective.**

Click or tap here to enter text.

- d. **What Tangible Evidence exists to show that the Objective is being realized?**

Click or tap here to enter text.

- e. **List Barriers, if any, that may prohibit accomplishing the Objective.**

Click or tap here to enter text.

4. **PERSONNEL:** Total spent in Personnel this Quarter \$_____

If there are any unfilled (approved) positions in your budget, explain why and give plans for filling the position(s).

Click or tap here to enter text.

5. **TRAVEL:** Provide the following for each Conference, Workshop, Training, Meeting, etc. attended by Program staff and paid with Title III funds to date:

Name of Traveler	Traveler's Title	Name of Conference, Meeting, etc.	Location/ Dates	Amount Spent
		Total Spent this Quarter		\$_____

NOTE: *Please ensure that each traveler indicates on his or her required Title III Travel Report what was learned and indicate if any of the information obtained by participation is being implemented or recommended for implementation.*

6. **EQUIPMENT INVENTORY:** Provide the following for any Equipment received and or purchased with Title III funds, including computers (desk, laptop, ipad, tablet), printers, etc.

Equipment/Item Name	Brand, Make, Model	Serial Number and/or FVSU Decal Number	Assigned User's Name	Location of Equipment (Building and Room #)	Amount Spent
			Total Spent this Quarter		\$_____

NOTE: No Equipment/Computers, etc. purchased with State and Grant Funds are to be removed from the Campus without APPROVAL.

- 7. CONSULTANTS/EVALUATORS: Provide the following for any and all Consultants utilized and paid with Title III funds:**

Consultant Name	Date(s) of Services	Amount Paid to Consultant
	Total Spent this Quarter	\$ _____

NOTE: You are required to submit a copy of the Consultant's Report(s) to the Title III office which should include the purpose and outcome of the consultant/evaluator. Please also provide a copy of the evaluation report/analysis.

8. **REMAINING BUDGET CATEGORY EXPENDITURES:** What is the expenditure status of other budgeted categories that are applicable to this Activity? Please reference the budget status report that has been provided to you and INSERT additional budget categories as needed. If you dispute any of the charges indicated on the report, please inform the Title III office and the Grants and Contracts office.

BUDGET CATEGORIES	Amount Spent
Rentals other than Real Estate (Vehicle Requests for Travel)	
Supplies/Postage	
Printing	
Registration	
Per Diem – Reimbursable Expense	
Telecommunications	
TOTAL Spent this Quarter	\$ _____

NOTE: *Any changes in budgeted categories or items MUST be made in writing to the Title III Director with clear justification for change.*

9. **CHALLENGES:** Indicate if there were any challenges that you have had or that you anticipate in the remaining months of this Grant Period which may affect your ability to meet the goals of this Grant.

Click or tap here to enter text.

10. What are the TANGIBLE BENEFITS and/or IMPACT of this Activity to the University?

Click or tap here to enter text.

11. TOTAL EXPENDITURES THIS QUARTER (Total of numbers 4-8 above) \$Click or tap here to enter text.

Title III, Parts B & F granted by the U.S. Department of Education mandates that awardees are to maintain accurate records and adhere to specific programmatic and financial requirements. Each institution, in the fulfillment of its obligations, should employ sound management. Please certify below that to the best of your knowledge and belief, all documents and figures provided for this Monthly Progress Report are true and correct. Please add attachments or supporting documentation.

Signatures:

Activity Director: _____ **Date:** _____

Title III Director: _____ **Date:** _____

Title III Travel Report

TITLE III TRAVEL REPORT

Fort Valley State University

(COPY MUST BE SUBMITTED WITH TRAVEL STATEMENT)

Employee Name: Click or tap here to enter text.

Select which of the following most closely describes your status at FVSU: Choose an item.

Department/Program/Title: Click or tap here to enter text.

Date(s) of Meeting/Activity: Click or tap here to enter text.

Location (City): Click or tap here to enter text. **(State):** Click or tap here to enter text.

Title (Meeting, Workshop, and Conference): Click or tap here to enter text.

How was it related to your program/activity, teaching, or administrative duties?

Click or tap here to enter text.

How will the information be used/ disseminated in order to strengthen Fort Valley State University?

Click or tap here to enter text.

How can you demonstrate dissemination of information?

Click or tap here to enter text.

Employee Signature

Title III Director Name

Title III Director Approval Signature

Contract Routing Form



CONTRACT ROUTING FORM

This form should accompany ALL Contracts/MOUs submitted for review and signing. Please allow up to 20 business days for review and to obtain the appropriate authorizing signature(s).

- We require a notarized Contractor's Affidavit for every contract for service or labor at or over \$2500. This affidavit states the supplier is in compliance with the federal work authorization program commonly known as E-Verify. Exemptions may be requested.
- We require a Certificate of Insurance for all service contracts at or over \$2500.

Section 1. REQUESTING DEPARTMENT/DIVISION

*****List the individuals who should be notified upon completion of contract review.*****

Requesting Employee: _____	Ext: _____	Dept: _____	Division: _____
Additional Contact Person: _____	Ext: _____	Dept: _____	Division: _____

Purpose of Contract (check all that apply):

- Clinical Training/MOU
 Lease/Rental
 Construction
 Conference Space
 Speaker/Performer
 Endowed Gift/Trust
 Real Estate
 Athletics/Recreation
 Equipment/Software
 Staffing/Consultant
 Services
 Other _____

Contractor/Vendor Name: _____

Description of Service: _____

Start Date of Service: _____	End Date of Service: _____	Multi-Year? <input type="checkbox"/> Y <input type="checkbox"/> N:
Am't. Pd BY FVSU: \$ _____	Am't. Pd TO FVSU: \$ _____	Vendor ID#:
Budget Acct#: _____		

Section 2. CONTRACT CHECKLIST

*****Must be completed by Requesting Department/Division*****

*****Failure to completed, will delay contract process.*****

- The Requesting Department has read the contract and all attachments.
- All documents that are referenced are attached.
- The University can perform all of the duties under the contract.
- In accordance with BOR and FVSU's Conflict of Interest policy, a Conflict of Interest does not exist between this Contract and the University.
- If applicable, IT has authorized that software is compatible – attach email confirmation.
- I certify that this is an appropriate expense to the fund source(s) identified and funds are available to cover the payment.
- If applicable, Facilities Management approval for contracts involving building maintenance/operations – attach email confirmation.

As the responsible **AUTHORIZED SIGNATORY** for the Contract's requesting department, I certify that I am satisfied with the business terms and the description of goods, services, payment amounts, and terms to be provided to or from the University and I do recommend this agreement.

Requesting Employee Signature: _____	Date: _____
Dept. Head Signature: _____	Dept. Head Printed Name: _____
	Date: _____

Section 3. CONTRACT REVIEWED BY:

*****Please route to the next individual on the routing form. VPBF will complete upon receiving a signed contract from the vendor.*****
An electronic signature only is acceptable for the Contract Routing Form and not for the original contract.

Next level Approval (Chair/Dean/VP):	Signature: _____	Date: _____
Compliance/Legal:	Signature: _____	Date: _____
Procurement, if applicable:	Signature: _____	Date: _____
Title III/Sponsored Projects, if applicable:	Signature: _____	Date: _____
VP Business & Finance:	Signature: _____	Date: _____

*****Please affix this completed form to the signed agreement for record keeping purposes and submit this form along with the contract to contracts@fvsu.edu for processing.*****

Revised 12/2017-PT

Consultant's Report

Fort Valley State University			
Title III			
CONSULANT'S REPORT			
Consultant	<u>Click or tap here to enter text.</u>	Vendor ID Number	<u>Click or tap here</u>
Title	<u>Click or tap here to enter text.</u>	Institution/Agency	<u>Click or tap here to</u>
Address	<u>Click or tap here to enter text.</u>		
	Street Number	City/State	ZIP Code
Date(s) of Service	<u>Click or tap here to enter</u>	Hours of Service	<u>Click or tap here to</u>
Name of Grantee Staff and Program to whom service was provided.			
<u>Click or tap here to enter text.</u>			
	Name	Title	Program
Fee Charges:	<u>\$Click or tap here to enter text.</u>		
Services performed and the results of the consultation:			
<u>Click or tap here to enter text.</u>			
<u>Click or tap here to enter text.</u>			
Consultant's Signature			

Property Disposal

FORT VALLEY STATE UNIVERSITY

Office of the Comptroller

REPORT OF PROPERTY DISPOSAL

Date: _____ Department: _____

Decal/Serial No.	Description	Building/Room Location

Department Head or Property Representative

Date

OIT Representative

Date

Comptroller

Date

Please submit original copy of this form to the Comptroller.

To: Plant Operations

Please pick up the above property at the building/room location above. If computer equipment, please certify that the hard drive has been removed by the Computer Center before pickup.

Date: _____

Signed: _____

Property Control Officer

Property Transfer

FORT VALLEY STATE UNIVERSITY

Office of the Comptroller

REPORT OF PROPERTY TRANSFER

Please submit all copies of this form to the Comptroller

Table with 8 columns: Decal, Description, Department/Room Change (From, To, Room), Building Change (From, To, Room). It contains four empty rows for data entry.

Has transfer of property been completed? [] Yes [] No

Should the Physical Plant Department be requested to move property? [] Yes [] No

I hereby authorize the Physical Plant Department to transfer the above equipment as indicated

Department Head or Property Representative

I hereby accept the custody of the transferred equipment

Department Head or Property Representative

Comptroller

THIS SECTION TO BE USED BY PROPERTY OFFICER

To: Plant Operations

Please pick up the above property and transfer to the department indicated above.

Signed: _____

Date _____

NSF Fraud Hotline!

1-800-428-2189



**National Science Foundation
Office of the Inspector General**

**Report Fraud, Waste, and Abuse in NSF
contracts and awards**

**Contact us at:
OIG.NSF.GOV or OIG@NSF.GOV
4201 Wilson Blvd., Arlington, VA 22230**

**The IG Act and other pertinent laws protect persons
using the Hotline. Complaints can be made by NSF
contractors, employees, or the public.**



Fort Valley State University
1005 State University Drive
Fort Valley, Georgia 31030

Prepared By
Office of Sponsored Programs
Troup Building, Suite 335
(478) 825-4323

This initiative is supported by the Strengthening Historically Black Colleges and Universities Program grant (Title III, part B) of the U.S. Department of Education Act 1965, as amended.

Fort Valley State University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award associate, baccalaureate, and master's degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of Fort Valley State University.

Fort Valley State University is an affirmative action, equal opportunity institution and does not discriminate against applicants, students, or employees on the basis of race, gender, ethnicity, national origin, sexual orientation, religion, age, and disability, marital or veteran status.