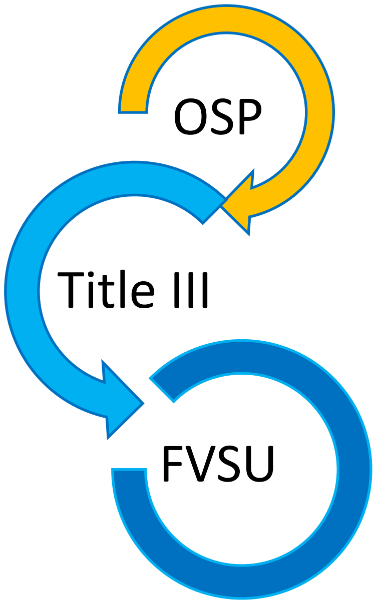
Standard Operating Policies and Procedures Manual

Office of Research & Sponsored Programs
& Title III
Fort Valley State University
Fort Valley, Georgia 31088
July 2022- July 27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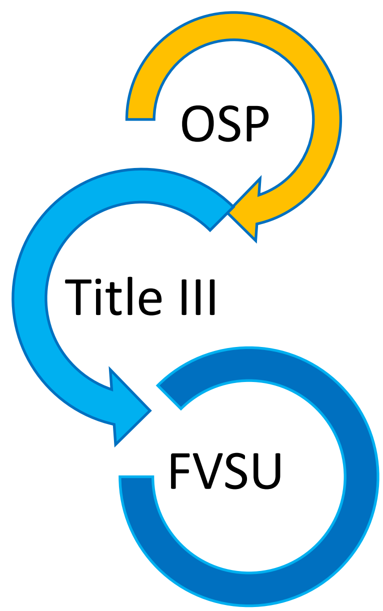
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FORT VALLEY STATE UNIVERSITY

OFFICE OF ACADEMIC AFFAIRS

Dear Faculty, Staff, and Students,

I am pleased to introduce the Standard Operating Policies and Procedures Manual (SOPM) for the Office of Research and Sponsored Programs and Title III, housed within the Division of Academic Affairs.

This manual represents an important step in strengthening our institutional commitment to research excellence, accountability, and compliance. It has been carefully developed to provide clear, consistent guidance on the policies and procedures that govern externally funded projects, internal research activities, and Title III initiatives. Whether you are an experienced principal investigator or exploring research opportunities for the first time, SOPM is designed to serve as a practical and accessible resource throughout the lifecycle of your work.

The SOPM outlines essential processes related to proposal development, submission, award management, fiscal oversight, and reporting. It also clarifies roles and responsibilities, ensuring alignment with institutional priorities as well as federal, state, and sponsor requirements. By standardizing these procedures, we aim to reduce administrative uncertainty, promote efficiency, and support the successful execution of your scholarly and programmatic efforts.

In addition to supporting compliance, this manual is intended to empower you. It provides the tools and structure needed to navigate complex research environments with confidence, helping you focus more fully on innovation, discovery, and impact. The Office of Research and Sponsored Programs and Title III teams stand ready to assist you in applying these guidelines and advancing your work.

I encourage you to review the SOPM carefully and integrate its guidance into your research and program activities. Your engagement with these processes is essential to maintaining the integrity, sustainability, and growth of our research enterprise.

Thank you for your continued dedication to academic excellence and your contributions to our scholarly community.

Sincerely,

Derrick Scott, Ph.D.
Provost and Vice President for Academic Affairs
1005 State University Dr, Fort Valley, GA 31030
derrick.scott@fvsu.edu
www.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)

Vice President for Economic Development and Land-Grant Affairs
1005 State University Drive
Fort Valley, Georgia 31030
(478) 825-6330

Vice President of Business & Finance
1005 State University Drive
Fort Valley, Georgia 31030
(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)

1890 Land-Grant Institution

State Entity

Tax Identification Number (TIN):

Fort Valley State University's EIN:	58-6002062
Unique Entity Identifier (UEI)	LVDJS9UYPLD4
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, 2022- June 30, 2026,** until amended. Facilities and Administrative cost rates for FVSU are as follows:

On-campus projects	37.5%
Off-campus projects	15%
Prov	Until Amended Use same rates and conditions as those cited for fiscal year ending June 30, 2026.

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 Vice President for Economic Development and Land-Grant 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	20.%
Social Security (SS) and Medicare (M) (SS: 6.20% + M: 1.45%)	7.65%
Insurance	21.11%
GA Define Employee Contribution	7.5%
TOTAL	38% or as low as 33%

Director 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. Jon Ossoff (D)	United States Senate	U.S. Senator
Mr. Raphael Warnock (D)	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 Vice President for Economic Development and Land-Grant 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 Vice President for Economic Development and Land-Grant 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 Vice President for Economic Development and Land-Grant 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 an annual 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 Vice President for Economic Development and Land-Grant 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 l964, Section 504 of the Rehabilitation Act of l973, Title IX of the Education Amendments of l972, and the Age Discrimination Act of l975. 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 Vice President for Economic Development and Land-Grant 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, l978, 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.*

1.5.6 Collaborative Institutional Training Initiative (CITI) Program

This CITI Program offers research ethics education and training to the campus community. In addition, through its e-learning tools and products, CITI promotes public trust in our research enterprise by fostering responsibility, integrity, and stewardship.

The university requires the following groups/individuals to update their training and be certified through the new CITI modules:

Chairs and committee members of the Agricultural and Laboratory Animal Care and Use Committee (ALACUC/IACUC)

Human Subjects Committee (HSC/IRB)

All faculty, staff, and students who are currently using or will be using animal or human subjects in their teaching, research, or extension programs. Should incorporate CITI programs.

Human Subjects Research IRB Chair: The IRB Chair Course is for chairs of Institutional Review Boards. (""IRB" | CITI Program")

IRB Members: This Basic Course is appropriate for IRB/HSC or Ethics Committee members.

Animal Care and Use IACUC Chair: The IACUC Chair Course introduces the roles and responsibilities of the IACUC chair as guided by Animal Welfare Regulations (AWR) and Public Health Service (PHS) Policy. It also addresses the IACUC chair's role and responsibilities during IACUC meetings and additional duties outside of IACUC meetings. ("IACUC Chair | CITI Program")

IACUC Committee and Community Members: Provides an in-depth look at IACUC's responsibilities, authority, and membership and the IACUC's relationship with the Chief Executive Officer (CEO) and Institutional Official (IO).

Conflicts of Interest (COI) Responsible Conduct of Research (RCR): The National Institutes of Health (NIH), National Science Foundation (NSF), and U.S. Department of Agriculture (USDA) require specific categories of researchers to receive RCR training. As a result, RCR is increasingly viewed as an essential component of training, regardless of a researcher's funding source. This course provides an in-depth review of the core RCR topics, including authorship, collaborative research, conflicts of interest, human subjects, and research misconduct.

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 Vice President for Economic Development and Land-Grant 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 Faculty Request for Release Time form must be approved by the Department Head, Dean and Provost and Vice President for Academic during the pre-award stage of proposal submission. The Faculty Request for Release Time form is located in the Office of Sponsored Programs Resource Center located at https://www.fvsu.edu/sponsored-programs.

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, and 7.5% for GA Define Employee Contribution 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 Vice President for Economic Development and Land-Grant 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, Vice President for Economic Development and Land-Grant 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 Vice President for Economic Development and Land-Grant 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 Vice President for Economic Development and Land-Grant 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.”

FORT VALLEY STATE UNIVERSITY

Office of Title III

Standard Operating Policies and Procedures Manual

Title III, Part B – Strengthening HBCUs Program

Section 4 | Title III Policies and Procedures

Troup Administration Building, Suite 328

1005 State University Drive

Fort Valley, Georgia 31030

(478) 825-6397

4.1 How Title III Funds Are Allocated to HBCUs

Funds are allocated by a formula 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

The Title III Program shall be administered in accordance with applicable federal statutes, regulations, grant conditions, and guidance issued by the U.S. Department of Education. The following Legislative Allowable Activities for Title III, Part B and Title III, Part F are stated below as provided in current federal guidance.

Title III, Part B, Strengthening Historically Black Colleges and Universities Sections 321-327 of the Higher Education Act, as amended (20 U.S.C. 1060-1063c) (HBCU)

§1062. Grants to institutions

(a) General authorization; uses of funds

From amounts available under section 1068h(a)(2) of this title for any fiscal year, the Secretary shall make grants (under section 1063 of this title) to institutions which have applications approved by the Secretary (under section 1063a of this title) for any of the following uses:

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- (2) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.
- (3) Support of faculty exchanges, and faculty development and faculty fellowships to assist in attaining advanced degrees in their field of instruction.
- (4) Academic instruction in disciplines in which Black Americans are underrepresented.
- (5) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials.
- (6) Tutoring, counseling, and student service programs designed to improve academic success.
- (7) Funds and administrative management, and acquisition of equipment for use in strengthening funds management.
- (8) Joint use of facilities, such as laboratories and libraries.
- (9) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.
- (10) 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.
- (11) Establishing community outreach programs which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education.
- (12) Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities.
- (13) Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under subchapter IV.
- (14) 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 two percent of the grant amount may be used for this purpose.

- (15) Other activities proposed in the application that (A) contribute to carrying out the purposes of this part; and (B) are approved by the Secretary as part of the review and acceptance of such application.

(b) Endowment fund

(1) In general

An institution may use not more than 20 percent of the grant funds provided under this part to establish or increase an endowment fund at the institution.

(2) Matching requirement

In order to be eligible to use grant funds in accordance with paragraph (1), the eligible institution shall provide matching funds from non-Federal sources, in an amount equal to or greater than the Federal funds used in accordance with paragraph (1), for the establishment or increase of the endowment fund.

(3) Comparability

The provisions of part C of this subchapter regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this subsection, shall apply to funds used under paragraph (1).

(c) Limitations

- (1) No grant may be made under this chapter for any educational program, activity, or service related to sectarian instruction or religious worship, or provided by a school or department of divinity.
- (2) Not more than 50 percent of the allotment of any institution may be available for the purpose of constructing or maintaining a classroom, library, laboratory, or other instructional facility.

Title III, Part F, Strengthening Historically Black Colleges and Universities Section 371 of the Higher Education Act, as amended (20 U.S.C. 1067q), FUTURE Act (formerly SAFRA) – CFDA: 84.031E

§1067q. Investment in historically Black colleges and universities and other minority-serving institutions

(C) Allocation and allotment HBCUs and PBIs

From the amount made available for allocation under this subparagraph for any fiscal year, 85 percent shall be available to eligible institutions as grants under section 1062 of this title, with a priority for activities described in paragraphs (1), (2), (4), (5), and (10) of section 1062(a) of this title:

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- (2) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.
- (4) Academic instruction in disciplines in which Black Americans are underrepresented.
- (5) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials.
- (10) 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.

In addition to the priority activities listed above, Part F funds may also be used for 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, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

Regulations

- 34 C.F.R. Part 608

Guidance

Effective December 26, 2014, Uniform Guidance was issued and supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122; Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up.

4.3 Program Management

4.3.1 President

The President serves as the institutional leader for the Title III Program and is expected to be a visible and active participant in the implementation and operation of the grant. The President should remain informed regarding the goals, expected outcomes, and institutional impact of Title III activities and should ensure that the Title III Program is given sufficient organizational authority and institutional support to be administered effectively.

Consistent with federal requirements, the President ensures that the Title III Director has adequate authority to manage the project effectively and that institutional systems are in place to support compliant and efficient grant administration.

The President:

- Provides institutional leadership for the Title III Program.
- Establishes Title III priorities in alignment with the University's mission and strategic priorities.
- Approves and certifies required Title III institutional data and submissions, as applicable.
- Serves as the final institutional authority on the selection of Title III activities submitted for funding.
- Ensures that appropriate systems, controls, and support structures are in place for effective, efficient, and compliant administration of Title III funds.

4.3.2 Title III Director

The Title III Director serves as the University's principal administrator for the Title III Program and is responsible for the overall leadership, coordination, and compliance oversight of Title III activities. Reporting to the President, the Title III Director serves as the primary liaison between Fort Valley State University and the U.S. Department of Education and is responsible for ensuring that the institution administers Title III funds in accordance with federal statutes, regulations, grant conditions, and institutional policies.

The Title III Director provides strategic and operational oversight for the Title III Office, including grant planning, budget management, monitoring of activity implementation, reporting, and policy development. Responsibilities include leading the development and submission of grant applications and amendments; overseeing budget controls, expenditure approvals, and time and effort reporting; coordinating internal and external evaluations; developing and maintaining systems for activity tracking, fiscal accountability, and reporting; and providing technical assistance and training to Activity Directors and other stakeholders.

The Title III Director also works collaboratively with Academic Affairs, Business and Finance, Institutional Research, Sponsored Programs, and other university units to align Title III activities with the University's Strategic Plan and institutional priorities. In addition, the Director is responsible for maintaining current knowledge of federal guidance and best practices related to Title III administration and for ensuring that the Title III Office maintains audit-ready records and sound internal controls.

4.3.3 Title III Coordinator

The Title III Coordinator supports the Title III Director in the day-to-day administration and operational management of the Title III Program. Reporting to the Title III Director, the Coordinator assists with implementation, compliance, communication, and fiscal monitoring functions necessary to support effective grant administration.

The Title III Coordinator assists in monitoring project activities to ensure alignment with approved objectives, timelines, and budgets. Responsibilities include supporting budget tracking and expenditure monitoring; assisting with travel and requisition review;

maintaining time and effort and other compliance-related records; coordinating meetings and communications with Activity Directors and stakeholders; preparing and organizing documentation for reporting, evaluation, and audit purposes; and assisting with internal and external evaluation activities.

The Coordinator also provides technical and administrative support related to Title III processes, including recordkeeping, meeting logistics, inventory and equipment verification, and maintenance of expenditure files and related documentation. In collaboration with the Title III Director and other university offices, the Coordinator supports efforts to strengthen data management, reporting, and operational efficiency within the Title III Office.

4.3.4 Activity Director

The Activity Director is responsible for the day-to-day leadership, implementation, and oversight of a Title III activity. The Activity Director shall ensure that the activity is carried out in accordance with the approved application, budget, objectives, performance indicators, timelines, and all applicable federal, institutional, and Title III requirements.

The Activity Director is responsible for planning, coordinating, and monitoring activity operations and for ensuring that progress is documented and reported accurately. This includes maintaining records that clearly demonstrate the degree to which the activity objective, performance indicators, specific tasks, and tangible results have been accomplished. The Activity Director shall also ensure that all expenditures are appropriate, allowable, properly supported, and aligned with the approved purpose of the activity.

The Activity Director shall work closely with the Title III Director and other relevant university offices to support effective program implementation, fiscal accountability, and compliance. This includes timely submission of quarterly progress reports, time and effort reports, budget requests, supporting documentation, and any other information required for reporting, evaluation, monitoring, or audit purposes.

The Activity Director:

- Provides leadership for the planning, implementation, and monitoring of the assigned Title III activity.

- Ensures that all activity operations remain aligned with the approved objectives, performance indicators, budget, and timelines.
- Monitors expenditures and works with the Title III Office to ensure fiscal accountability and compliance with applicable policies and procedures.
- Maintains complete and organized activity records, including documentation that supports progress toward objectives and performance indicators.
- Submits required reports, records, and supporting documentation in a timely manner.
- Participates in meetings, training sessions, evaluation activities, and other Title III administrative processes as required.
- Communicates promptly with the Title III Director regarding delays, proposed changes, challenges, or corrective actions related to the activity.

The Activity Director is expected to exercise sound administrative judgment and to maintain sufficient communication with the Title III Office to support the effective, efficient, and compliant administration of the Title III Program.

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. 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, contact the Office of Human Resources.

- A Personnel Action Notice (PAN) must be completed and approved prior to hiring and paying personnel. The PAN is accessible through Dynamic Forms via the HR dropdown menu (see Appendix A).
- 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.

4.4.2 Summer Stipends and Summer Compensation

Summer stipends or other supplemental summer compensation supported with Title III funds may be approved only for additional work performed during the summer and must be consistent with the approved Title III activity, budget, and applicable institutional and federal requirements.

Before any summer stipend request is submitted to the Office of Business and Finance for processing, the Activity Director must first submit the request to the Title III Office for prior review and approval. The request must include a detailed spreadsheet and any applicable supporting documentation, including Memorandums of Understanding or other required records.

At a minimum, the spreadsheet must identify:

- The name of each individual proposed to receive summer stipend support.
- The amount proposed for each individual.
- The applicable fringe benefit amount, if required.
- The grand total, verified with Business and Finance for accuracy and compliance.

The Title III Director may establish internal submission deadlines for summer stipend requests to allow sufficient time for review, approval, and processing. Requests submitted after the established deadline may be delayed or denied.

No summer stipend payment supported with Title III funds shall be submitted to Business and Finance for processing without prior review and approval by the Title III Office.

4.5 Travel

4.5.1 Title III Travel Approval Process

All travel supported with Title III funds must be reasonable, necessary, allowable, and directly related to the approved objectives and activities of the grant.

Effective October 2025, all individuals requesting travel using Title III funds must first complete and obtain approval of the Title III Travel Application prior to submitting a University Travel Authorization form. The Title III Travel Application is a required pre-approval step and is available in Dynamic Forms under the Title III menu (see Appendix A).

The purpose of this process is to strengthen pre-approval tracking, confirm alignment of proposed travel with approved grant activities and budgets, and ensure compliance with applicable federal, institutional, and Title III requirements. No Title III-funded travel shall move forward for approval or reimbursement unless the required Title III Travel Application has been completed and approved.

Activity Directors are responsible for ensuring that all employees or other eligible individuals seeking Title III travel support follow this process and submit required documentation in a timely manner.

4.5.2 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. Any proposed international travel supported with Title III funds must also comply with the Title III Travel Application process outlined in Section 4.5.1.

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 Register, 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.

- 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.
- 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.
- 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.

4.6.2 Year-End Spending and Internal Title III Spending Deadlines

To support sound fiscal stewardship and ensure timely closeout of financial activity, Title III expenditures are subject to both institutional year-end spending deadlines and internal Title III spending deadlines.

The University may establish an annual fiscal year-end spending cut-off that affects all funding sources, including grants. Title III Activity Directors and other responsible personnel must comply with the University's year-end deadlines to ensure that purchases, requisitions, and other financial transactions are initiated with sufficient time for processing before institutional closeout.

In addition to the University's fiscal year-end deadlines, the Office of Title III establishes an **internal Title III spending deadline of August 31 of each grant year**. This deadline is intended to allow adequate time for the completion of purchase orders, receipt of goods and services, invoice processing, and payment of obligations prior to the grant year end on **September 30**.

Purchases or other financial transactions requested after August 31 may be considered only on a limited basis and will be subject to review for necessity, allowability, timing, and the likelihood of successful processing prior to the grant deadline. Approval of such requests is not guaranteed.

The Title III Director may require meetings or other follow-up with Activity Directors and responsible personnel to review spending plans, remaining balances, and the status of open encumbrances to support timely and compliant grant administration.

4.6.3 Construction and Renovation Compliance Requirements

Title III activities involving construction, renovation, or remodeling of campus facilities that are funded in whole or in part with Title III grant funds are subject to specific federal compliance requirements communicated by the U.S. Department of Education. Activity Directors must be aware of these requirements and coordinate with the Title III Director and the Office of Legal and Government Affairs before initiating any construction or renovation activity.

Build America, Buy America Act (BABAA). Effective for federally funded infrastructure projects, including construction and renovation activities supported by Title III funds, the Build America, Buy America Act requires that all iron and steel, manufactured products, and construction materials used in the project be produced in the United States. This requirement applies to articles, materials, and supplies that are consumed in, incorporated into, or affixed to a covered infrastructure project. FVSU's Agreement for Construction Related Services incorporates BABAA compliance provisions through Exhibit D (BABAA Affidavit), which must be executed by the contractor prior to project commencement. Contractors are required to provide Manufacturer's Certifications for all applicable materials and to certify upon project completion that all work and materials have complied with BABAA requirements. Waivers to BABAA domestic sourcing requirements may only be requested through the U.S. Department of Education and cannot be approved at the pass-through entity level.

Davis-Bacon Act and Copeland Anti-Kickback Act. For construction or renovation contracts in excess of $2,000 funded in whole or in part with federal funds, the Davis-Bacon Act requires that contractors pay all laborers and mechanics wages and fringe benefits at rates not less than those contained in the prevailing wage determination issued by the U.S. Department of Labor for the locality in which the work is performed. The Copeland Anti-Kickback Act prohibits contractors from inducing any employed person to give up any part of the compensation to which they are entitled. FVSU's Agreement for Construction Related Services incorporates compliance with both Acts through Exhibit E (Davis-Bacon and Copeland Anti-Kickback Act Affidavit), which must be executed by the contractor. These requirements extend to all subcontractors at any level.

Activity Directors are responsible for ensuring that construction and renovation activities funded with Title III dollars are procured through the appropriate university contracting process. All such contracts must be routed through the Office of Legal and Government Affairs, which administers the Agreement for Construction Related Services incorporating the required federal compliance affidavits. No construction or renovation activity funded with Title III funds may proceed without prior coordination with the Title III Director, confirmation that all applicable federal compliance requirements have been addressed in the contract documents, and approval through the standard university contracting process. Questions regarding BABAA waivers or Davis-Bacon prevailing wage determinations should be directed to the Title III Director, who will coordinate with the U.S. Department of Education program officer as appropriate.

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 and 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.

Prior to submitting a purchase requisition, the Activity Director is responsible for reviewing the approved grant application, activity proposal, and budget to ensure that the requested expenditure is included in and aligned with the approved activity.

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 Processing of Expense Requests

Requests for payment of Title III activity expenses must be processed in accordance with established University purchasing and payment procedures.

Purchase requisitions shall be entered electronically in the University's eProcurement system, and all required supporting documentation must be uploaded at the time of submission to justify the expenditure.

Once submitted electronically, the request will be reviewed by the Title III Director to ensure that the expenditure is allowable, properly documented, and consistent with the approved activity budget and purpose of the grant. If additional clarification, correction, or supporting documentation is needed, the request may be returned for revision prior to approval.

Activity Directors are expected to seek guidance from the Title III Office in advance whenever there is uncertainty regarding the allowability, classification, or documentation requirements of a proposed expenditure.

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, 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 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:

- Revising the project objectives or scope of activity.
- Changing key personnel.
- Absence for more than three months, or a 25% reduction in time devoted to the project, by the approved project director.
- Need for additional federal funding.
- Transferring amounts budgeted for indirect costs to absorb increases in direct costs or vice versa.
- Inclusion, unless waived by the federal awarding agency, of costs that require prior approval in accordance with applicable federal regulations.
- Transfer of funds allotted for training allowances to other categories of expense.
- 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 pre-approved line terms. Therefore, line items not specifically pre-approved 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. 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, Activity Directors are expected to monitor expenditures regularly and to implement spending plans that support the timely obligation and expenditure of funds within each grant year, in accordance with institutional and Title III spending deadlines.

In the event that carryover spending is approved, the Program Officer may require a written statement describing how unexpended funds will be used. Activity Directors should also refer to Section 4.6.2, Year-End Spending and Internal Title III Spending Deadlines, for additional guidance regarding institutional fiscal year-end requirements and the internal Title III spending deadline.

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 guidance is taken directly from a Title III Q&A document 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.

The prohibition against supplanting as it relates to the payment of salaries of existing personnel means 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.

Example A (Supplanting – Not Allowed):

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 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 to manage a process the grantee would have undertaken even without federal funds. Therefore, the grant may not be used to replace funds that otherwise would have been made available.

Example B (Supplanting – Not Allowed):

A grantee proposes to develop a management information system (MIS) and assigns an assistant to the Vice President for Administration at 100% release time charged to the grant, while other staff absorb regular responsibilities. The institutional funds for that position are then redirected to student cultural activities. This has the effect of reducing rather than supplementing available funds — not permissible.

Grantees should be able to demonstrate at a minimum that:

- Existing personnel will be formally released from their normal responsibilities for 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.
- 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.

Grantees also may use the replacement cost method to budget salary costs associated with existing personnel, charging the actual cost of hiring replacement personnel to perform the duties of existing staff who are released to work on project activities.

4.10 Evaluations

4.10.1 Evaluation

The Title III Program shall be monitored and evaluated on an ongoing basis to assess progress toward approved objectives, performance indicators, and overall grant outcomes. Evaluation activities are intended to support continuous improvement, strengthen program implementation, and assist the University in maintaining effective and compliant administration of Title III funds.

When appropriate and when resources permit, the University may engage an independent external evaluator to provide formative and/or summative evaluation services. The use of an external evaluator is encouraged as a best practice, but may be determined based on institutional need, budget availability, and evaluator availability.

In addition to any external evaluation activities, the Title III Office shall use internal reports, activity documentation, performance data, and other relevant records to monitor progress, identify issues requiring corrective action, and support required federal reporting.

4.11 Title III Focus Areas

4.11.1 Focus Area Descriptions

Title III–Part B of the Higher Education Act of 1965, as amended, authorizes grant awards to 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 focus area 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 database(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.

4.11.2 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 and a Quarterly Time and Effort Report to the Title III Office. Both forms are accessible through Dynamic Forms under the Title III menu (see Appendix A). 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. Due dates are the 25th of the months indicated for both Progress and Time and Effort reports.

Quarter	Due Date	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

4.11.3 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 unless:

- There is a need in the project for the services of that individual, or
- 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:

- 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
- 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

Prior to entering into arrangements with a consultant, the Activity Director must complete an FVSU Contract Routing Form. This form is accessible through the Doc Juris application on the FVSU MyApps dashboard, administered by the Office of Legal and Government Affairs (see Appendix A). The completed form must be submitted to the Title III Director's Office for approval before any consultant engagement begins. The consultant must also be a registered vendor of the University for payment of services. A Vendor Registration Form is required for all new vendors/consultants and is available in the Office of Business and Finance.

The Consultant's Report Form must be completed by the Activity Director and submitted to the Title III Office within 10 working days of the completion of consultant services. This form is obtained directly from the Title III Office, as it requires an external signature and has not been digitized at this time (see Appendix A). When a consultant is engaged to provide on-campus training (workshops, seminars, etc.), documentation in the form of a program agenda or outline, attendance sheets, and evaluation of the program by participants must be attached. 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

Federal OMB, State Official Code of Georgia, Board of Regents, and OSP/institutional guidelines confirm that a faculty member may not perform work as a consultant within his/her own department or while teaching during the same period. 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."

Relevant guidelines include:

- OSP Manual, Section 2.5.1: Salary Rates for Faculty and Staff.
- OSP Manual: Extra Compensation from Sponsored Funds.
- BOR Guidelines: Board of Regents Business Procedures Manual, Section 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, Compensation for Personal Services / Fringe Benefits.

4.12 Inventory Control

General grant regulations for Title III require 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. 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.

Property Transfers

The University's Property Control Office requires that accurate inventory records be maintained. The Title III Director must approve all equipment transfers. The Property Transfer Sheet must be completed and submitted to the Property Control Office when transferring assets from office to office or building to building. This form is available on the Plant Operations webpage (see Appendix A).

The sponsoring agency (U.S. Department of Education) provides a specific process for how furniture/equipment must be distributed when no longer needed for the original project. Priority order per EDGAR Part 74.34(c):

- Activities sponsored by the federal awarding agency that funded the original project (Title III activities receive first priority).

- Activities sponsored by other federal awarding agencies (e.g., HBCU-UP, MSEIP, Talent Search, Upward Bound, then other federal agencies such as NSF).

Equipment/Property Disposal

The Report of Property Disposal Form must be completed and submitted to the Property Control Office when disposing of any state property. This form is available on the Plant Operations webpage (see Appendix A). 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. FVSU participates in the State Surplus Property Disposal Program.

All equipment/property purchased with Title III funds remains vested in the federal government. The U.S. Department of Education 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.

Appendix A | Forms and Resources Directory

All Title III-related forms are digitized and accessible as noted below unless otherwise indicated. Activity Directors are responsible for ensuring that current versions of all forms are used. Paper or outdated form versions will not be accepted.

Form / Document	How to Access	Notes
Quarterly Progress Report	Dynamic Forms → Title III menu	Required each quarter; due the 25th of the month following each quarter. See Section 4.11.2.
Time and Effort Report (Title III)	Dynamic Forms → Title III menu	Required each quarter; see Section 4.11.2 for schedule. Full T&E Policy is maintained in the OSP section of the joint manual.
Title III Programs Travel Application	Dynamic Forms → Title III menu	Required before University Travel Authorization form. Effective October 2025. See Section 4.5.1.
Intent to Submit – Part B Funding Proposal	Dynamic Forms → Title III menu	
Intent to Submit – Part F Funding Proposal	Dynamic Forms → Title III menu	
Contract Routing Form	MyApps Dashboard → Doc Juris app	Administered by the Office of Legal and Government Affairs. Must be submitted to Title III Director before any consultant engagement. See Section 4.11.3.
Consultant's Report Form	Obtain from the Title III Office	Cannot be digitized at this time; requires external signature and return to the Title III Office within 10 business days of

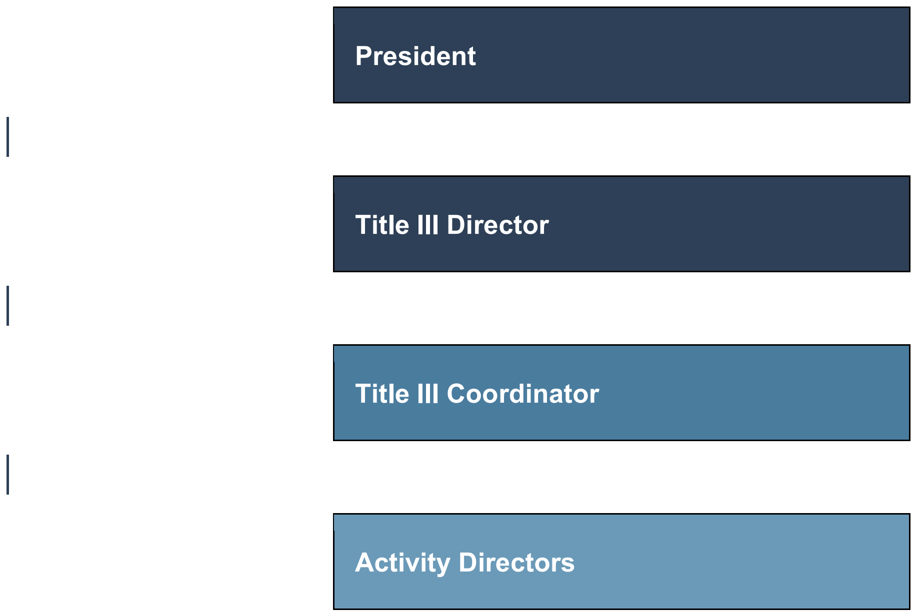
		service completion. See Section 4.11.3.
Personnel Action Notice (PAN)	Dynamic Forms → HR menu	Must be completed and approved before hiring or paying any Title III personnel. See Section 4.4.1.
Property Transfer Sheet	Plant Operations webpage	fvsu.edu/about-fvsu/plant-operations. Must be approved by Title III Director before submission. See Section 4.12.
Report of Property Disposal	Plant Operations webpage	fvsu.edu/about-fvsu/plant-operations. No disposal of Title III property without prior written approval from Title III Director. See Section 4.12.

***Dynamic Forms** is accessible through the FVSU MyApps dashboard at myapps.microsoft.com. Log in with your FVSU credentials and navigate to the Title III or HR dropdown menus as applicable.

+Doc Juris is accessible through the FVSU MyApps dashboard at myapps.microsoft.com under Faculty and Staff applications.

Appendix B | Title III Organizational Chart

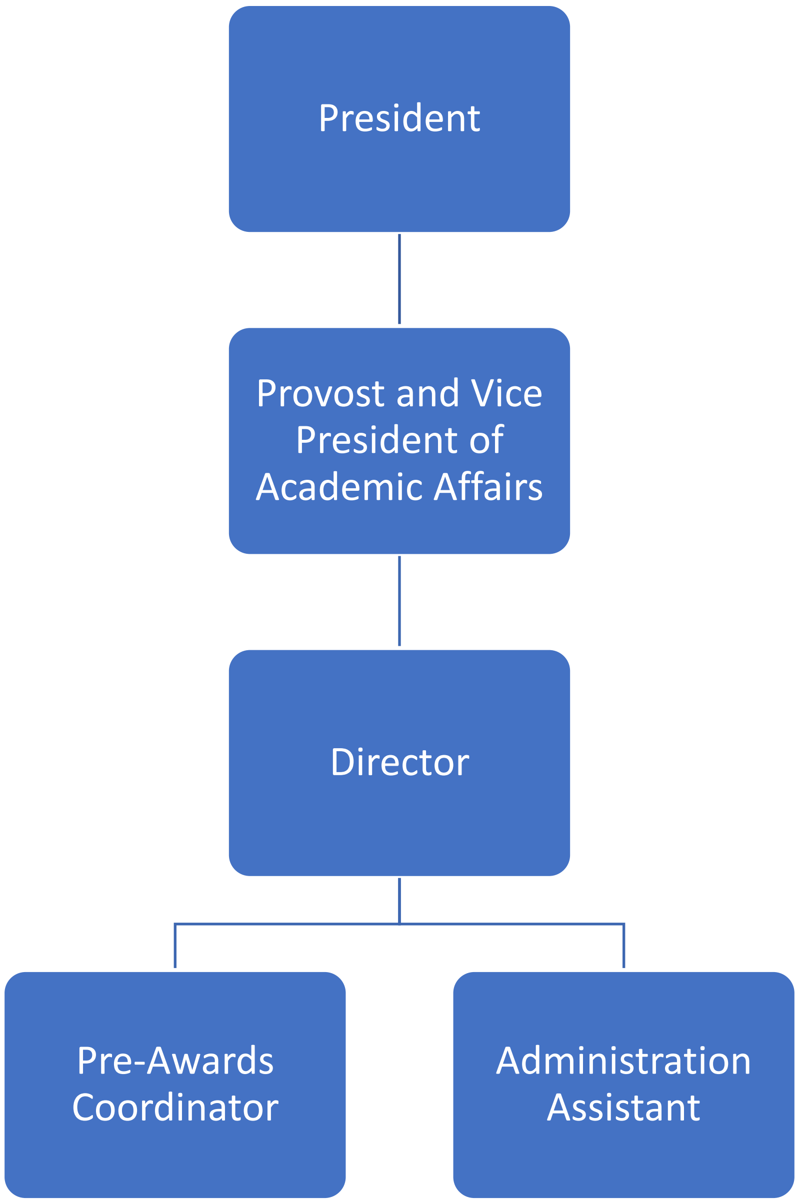
Title III – Part B Organizational Chart



APPENDIX |C Reference Materials, Policies, and Process Guides

Research in the Valley

Office of Sponsored Programs Organizational Chart



Frequently Asked Questions (FAQs)

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

A: All 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. If the award or contract documents have been fully executed by both the sponsor and Fort Valley State University (FVSU), there should be no issue. In most cases, the Office of Grants and Contracts Accounting (OGCA) operates on a cost-reimbursement basis, meaning expenditures are incurred and then reimbursed by the sponsor. However, some grants are provided as advance payments or are pre-funded through a check or other upfront funding mechanism.

Q: What does AOR mean?

A: Authorized Organization Representative.

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

A: The President or his/her 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. While OSP and other administrative offices provide support and oversight, the Principal Investigator (PI) bears primary responsibility for the programmatic and financial stewardship of the award. Accordingly, the PI must regularly review award activity and immediately report any discrepancies or concerns to OSP for resolution.

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?

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

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.

For additional questions send an email travel@fvsu.edu.

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

A: The Principal Investigator (PI) is responsible for directing and managing the project to ensure that all programmatic objectives are completed within the approved project period and within the funds awarded. The PI is expected to actively monitor project progress, expenditures, and timelines and to identify situations that may require additional time or funding. When such circumstances arise, the PI must initiate a request for an extension or other modification through the Office of Sponsored Programs (OSP) and ensure that the request is submitted to the sponsor well in advance, preferably no less than 60 days prior to the project expiration date. The PI is responsible for providing the necessary justification and supporting documentation for the request. Any extension of the project or budget period must be authorized by the sponsor, and verifiable documentation of that approval must be provided to OSP before the change can be implemented.

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: The Uniform Guidance (2 CFR Part 200) became effective for all new federal grant awards and non-competing continuations (NCCs) issued on or after December 26, 2014, pursuant to 2 CFR §200.110. The Office of Management and Budget (OMB) issued significant revisions to the Uniform Guidance on April 22, 2024, with an effective date of October 1, 2024, for new awards and funding actions issued on or after that date. The 2024 revisions represent the most comprehensive update to the Uniform Guidance since its original implementation in 2014 and include changes to administrative requirements, cost principles, audit requirements, cybersecurity expectations, procurement standards, indirect cost rates, and other compliance provisions. Awards issued prior to October 1, 2024, generally remain subject to the version of the Uniform Guidance incorporated into the award unless otherwise specified by the federal agency. Principal Investigators (PIs), project personnel, and administrative staff are responsible for ensuring compliance with the applicable Uniform Guidance requirements and sponsor-specific terms and conditions throughout the life of the award.

Glossary

The Uniform Guidance (2 CFR Part 200) became effective for all new federal grant awards and non-competing continuations (NCCs) issued on or after December 26, 2014, pursuant to 2 CFR §200.110. The Office of Management and Budget (OMB) issued significant revisions to the Uniform Guidance on April 22, 2024, with an effective date of October 1, 2024, for new awards and funding actions issued on or after that date. The 2024 revisions represent the most comprehensive update to the Uniform Guidance since its original implementation in 2014 and include changes to administrative requirements, cost principles, audit requirements, cybersecurity expectations, procurement standards, indirect cost rates, and other compliance provisions. Awards issued prior to October 1, 2024, generally remain subject to the version of the Uniform Guidance incorporated into the award unless otherwise specified by the federal agency. Principal Investigators (PIs), project personnel, and administrative staff are responsible for ensuring compliance with the applicable Uniform Guidance requirements and sponsor-specific terms and conditions throughout the life of the award

A-21:

The Office of Management and Budget (OMB) Circular establishing the cost principles for allowability of costs incurred by institutions of higher education under federally sponsored agreements.

A-110:

Circular published by OMB establishing administrative policies for fiscal management of grant awards in non-profit and higher education institutions.

A-133:

Circular published by OMB specifically relating to audit requirements and providing 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.

Assistance Listing Number (formerly CFDA Number):

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

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, and is the basis for authorizing expenditures and 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.

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 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 contracts.

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.

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:

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.

No Cost Extension:

A request to extend the period of performance for a project without additional funding.

Principal Investigator:

The individual with responsibility for conducting the research or other activity described in a proposal for an award. “Principal investigator” and “project director” may be used interchangeably depending on the agency’s program language.

Sponsored Programs:

Projects or programs conducted by faculty and/or administrative staff, supported fully or in part by external funding awarded to the University. May be research, instructional, or service in nature.

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 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 or $5,000, regardless of useful life.

Modified Total Direct Cost (MTDC §200.1):

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.

Technical Report:

A report on the progress and/or status of a project supported by sponsored funds, submitted by an investigator. May be submitted as an interim report, with continuation proposals, requests for supplemental funding, or at project termination.

Pre-Awards Process

1. Develop project or program idea.

2. Identify a funding agency.

3. Review guidelines from the funding agency.

4. Submit the Notice of Intent to Submit Form (OSP Form One) — due 15 business days before submission to OSP.

5. Complete the proposal — due 2 weeks before submission to OSP.

6. Proposal reviewed by department — due 1 week before submission to OSP.

7. Complete the FVSU Proposal Submission Form (OSP Form Two) — due 10 business days before the funder's due date.

8. Submit proposal to Pre-Awards.

9. OSP Review.

10. Begin signatory process, in this order: VP Business & Finance → Director of OSP → Provost & VP Academic Affairs → VP Economic Development & Land-Grant Affairs.

11. PI uploads proposal documents into Grants.gov, Fastlane, or other required systems.

12. OSP emails the fully executed submission to the PI.

13. OSP submits the proposal to the funding agency.

14. End of Pre-Awards process.

Proposal Submission Process

Before any proposal, prime or sub-award, is submitted to a funding agency, it must be routed through the FVSU internal review process. The Notice of Intent to Submit Form (OSP Form One) is the first step in the process. It should be completed and returned to the Office of Sponsored Programs (OSP) as soon as possible, but no later than 15 business days before the agency submission date.

The internal review process for external funding proposals ensures compliance with federal, state, and institutional regulations and promotes accuracy in all budgetary and institutional information. The second step is the Proposal Submission Form (OSP Form Two), which along with the appropriate signatures and documents should be submitted no later than 10 business days before the agency submission date.

To complete the forms, visit https://www.fvsu.edu/about-fvsu/resource-center

Post-Awards Process

1. OSP receives notification from the PI/funder.

2. OSP reviews the award and obtains appropriate signatures; if necessary, sends to the funder for full execution.

3. Post-Awards receives the fully executed award.

4. PI and Post-Awards prepare for account setup via a Post-Awards conference.

5. If there is no approved budget, PI/Post-Awards submits a budget amendment with required signatures to G&CA for posting.

6. G&CA assigns the account number.

7. PI conducts the research/project in accordance with the Scope of Work.

8. PI initiates any budget revision, amendment, and/or extension as needed.

9. Budget period ends.

At this point, the process branches based on whether this is a continuation grant:

If YES (continuation grant):

Confirm whether it requires a new application, matching funds or a new budget, and AOR signatures.

Contact the Pre-Awards Coordinator to begin the submission process (re-enters the Pre-Awards Process above).

If NO (not a continuation grant):

Begin project closeout.

Submit the performance report to the Post-Awards Coordinator for AOR signatures; financial reports are prepared by G&CA.

PI submits the fully executed closeout documentation to the funder.

End of Post-Awards process.

Grants and Contracts Process

Converted from a circular flowchart to a grouped list of ongoing responsibilities by office. This process is cyclical rather than a single start-to-finish sequence.

Office of Sponsored Programs (OSP):

1. Conducts budget setup for new grants.
2. Contacts and coordinates the Post-Awards Conference.
3. Assists with award negotiations and communications with the grantor.
4. Assists with non-financial closeout.
5. Coordinates, monitors, and tracks the time and effort process.
6. Assists with site visits, no-cost extensions, and the human subjects review process.
7. Monitors qualitative (non-financial) grant reports.
8. Reviews and approvals all grant expenditures.

Office of Grants and Contracts Accounting (G&CA):

9. Assigns accounts to new grants.
10. Monitors quantitative (financial) grant reports — SF-269 and SF-270.
11. Distributes expenditure reports.
12. Reviews expenditures and verifies invoices for appropriateness.

13. Performs draw-downs.
14. Reviews and approves all grant expenditures.
15. Institutional Compliance Officer (IC), independent:
16. Conducts a compliance overview of procedures.

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:

- Summer work during the eight weeks separate from the 10-month faculty contract — with an approved PAN, or
- As part of extraordinary conditions in which the faculty member first demonstrates that: other ways to incorporate the grant duties into current duties (without extra compensation) have been sought; grant work will be outside of the faculty member's department; grant work will be outside of regular contractual responsibilities; grant work will be performed at a remote location; and — most importantly — 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.

This process supports the assumption that grant work (or work supported by grant funding) is part of what's expected of faculty. The process to initiate extra compensation begins with Academic Affairs (secure the standard approval form from there), then 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

Rev. 5-9-2012

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 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.

5. 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.

6. 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.

The organizational chart below has been rebuilt in FVSU brand colors to match the format used elsewhere in the manual (see Appendix B).

Instructions for Preparing Budget Amendments

The budget is developed using estimates prepared in advance of the grant period. As project conditions change, Principal Investigators (PIs) should regularly review project expenditures and budget projections to ensure the budget remains a realistic financial plan for accomplishing project objectives. When revisions are necessary, a Budget Amendment Worksheet must be completed and approved.

The Budget Amendment Worksheet displays columns for Budget**, Expense, Encumbrance, Pre-Encumbrance, Available Budget*,** Budget Entry Follow these steps when completing budget amendments:

1. Review the project's current budget and determine the amount to be reallocated between budget categories.
2. Locate the account(s) that will be increased or decreased.
3. In the Budget Entry column:
4. Enter the amount to be added to the budget category as a positive number.
5. Enter the amount to be removed from a budget category as a negative number or in parentheses.
6. Verify that the total of all Budget Entry transactions. Budget amendments redistribute existing funds and do not change the overall project budget.
7. Confirm that sufficient funds are available in the budget category being reduced.
8. Prepare a brief justification explaining:
9. Why is the amendment needed.
10. Which budget categories are affected.
11. How the amendment supports project objectives.
12. Attach this justification to your email request.
13. Submit the completed Budget Amendment Worksheet and supporting justification to the Office of Sponsored Programs (OSP). OSP will review the request for compliance with sponsor and institutional requirements and, upon approval, submit the amendment to the Office of Grants and Contracts Accounting (OGCA) for processing and entry into the financial system.

Quick Reference – New Federal Uniform Guidance: General Provisions for Selected Items of Cost

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

Category	Unallowable Activities	Allowable Activities
Commencement/Convocation	All Commencement/Convocation costs, including activities pursuant to graduation and hospitality suites.	
Communication Costs		Communication costs include telephone, internet, data transmission, postage, and shipping when necessary for project performance.
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 statute. Costs of legal, accounting, and consultant services related to a defense.	
Depreciation and Allowances		Building use, capital improvements and equipment, provided they are in

Category	Unallowable Activities	Allowable Activities
		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
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	

Category	Unallowable Activities	Allowable Activities
	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).
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

Category	Unallowable Activities	Allowable Activities
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 upkeep 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. They must be must be reasonable, necessary, and allocable to the sponsored project; participant support costs should be separately identified when applicable.
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	

Category	Unallowable Activities	Allowable Activities
Professional Services Costs		Professional and consulting services, including legal services rendered by external sources
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 (F&A) 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

Category	Unallowable Activities	Allowable Activities
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. 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.	None – recruiting or proposal development is not considered "Selling or Marketing" in the sense intended here
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 Accounting Principles

Category	Unallowable Activities	Allowable Activities
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; cost 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	If certain costs cannot be discontinued immediately after termination, such costs are generally allowable within limitations. Settlement expenses including accounting, legal, clerical, and similar costs. Rental costs under unexpired leases as long as the amount of such rental claimed does not exceed the reasonable value of the property leased. Loss of value of special tooling, special machinery, and equipment.
Trustees		Travel and subsistence costs of trustees or directors

Time and Effort Policy (OSP-Wide)

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 to comply with this 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. 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.

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 submitted via the ADP system. This policy is supported by 2 C.F.R. Part 220 (New Federal Uniform Guidance).

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

Specific instructional or training activities (except research training) established by grant, contract, or cooperative agreement and budgeted and accounted for separately by sponsored account.

Research

All research and development activities established by grant, contract, or cooperative agreement and budgeted and accounted for separately by sponsored funds, including activities sponsored by federal and non-federal agencies as well as those separately budgeted under an internal allocation of institutional funds (University Research).

Public Service

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

Academic Instruction

Teaching and training activities of the University supported by University funds and not related to a sponsored project — test grading and preparation, class monitoring, demonstrations for student groups, scheduling, revising or designing academic courses, thesis/dissertation supervision, serving on student research and academic project committees, etc.

Cost Sharing

Specific research and development activities in support of a sponsored research project funded by University funds, including both mandatory and voluntary cost sharing. Sponsored project account number or companion account number must be specified.

Departmental Administration

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.

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 portion 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 (Instruction, Research, Public Service, or Departmental Administration).

If an employee expends effort on an activity described above, that employee should request a T&E form from the Office of Sponsored Programs. It is the responsibility of the employee (or certifying responsible official) to identify and properly report effort expended. Exceptions include employees whose effort is accounted for by time sheets (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 supports personnel effort expended for departmental administration, including but not limited to:

- 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, Departmental Administration 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 departmental administration through the use of Time & Effort Reports.

Time & Effort Reporting Procedure

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 the approved grant, contract, or cooperative agreement commits University personnel time to the project — regardless of whether such time is paid by external funds or is an unpaid contribution (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, indicated by a countersign on the form.

Reporting Frequency

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

Semester	Time Period	Time & Effort Due
Fall	August 1 – December 31	January 15
Spring	January 1 – April 30	May 15
Summer	May 1 – July 30	August 15

Allocation of Effort Among Related Activities

The Time and Effort form must account for all effort for which FVSU compensates the individual, allocated among different activities on a reasonable, equitable, and consistent basis. Categories include Sponsored Instruction, Research, and Public Service (as defined above), Academic Instruction, and Cost Sharing.

Cost Sharing – Three Types

Mandatory Cost Sharing:

Cost sharing required either by statute or administrative regulation, explicitly set forth in program announcements or guidelines issued by the sponsor, and a requirement for eligibility to participate in the project. A Cost Share Form is required.

Voluntary Committed Cost Sharing:

Cost sharing not required by the sponsor but included voluntarily in the University's proposal. Once accepted by the sponsor, the University is obligated to meet the cost sharing amount. A Cost Share Form is required.

Voluntary Uncommitted Cost Sharing:

Cost sharing that is neither mandatory nor voluntarily committed — contributions by the University to a sponsored project that were not required by the sponsor and not volunteered in the proposal. Not reported back to the sponsor. A Cost Share Form is not required.

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 must equal 100%.
3. The employee or responsible official having firsthand knowledge of all effort expended 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 the Office of Sponsored Programs for official archiving.

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 to 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 Any Intellectual Property Additional patents from released to the developed by faculty and staff that continuation of research inventor/creator by FVSU. the University patents, copyrights, initiated at another or trademarks. institution. Textbooks developed by a faculty Any IP developed by faculty or Co-authored work sponsored member with an outside publisher. staff and posted on a University by both FVSU and an entity website, subject to pre-existing outside the University. copyrights Recordings of performances not Recordings of performances Outside sponsored research sponsored by the University and not sponsored by the University or on (federal, state, corporate, and recorded on University property. University property. private sponsors, etc.) developed at the University.

Lecture notes, syllabi, Assessment materials IP developed by faculty assessment instruments, and and instruments and staff with a third materials developed for classes developed for classes party outside the outside the University. taught at FVSU. University. IP created by outside consulting Works for hire done of faculty and staff. 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

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

First $10,000 of 100% Accumulated Net Income

Accumulated 25% 25% 25% 25% Net Income Over $10,000

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

FVSU Creator(s) Creator's Dept./Unit Creator's College 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

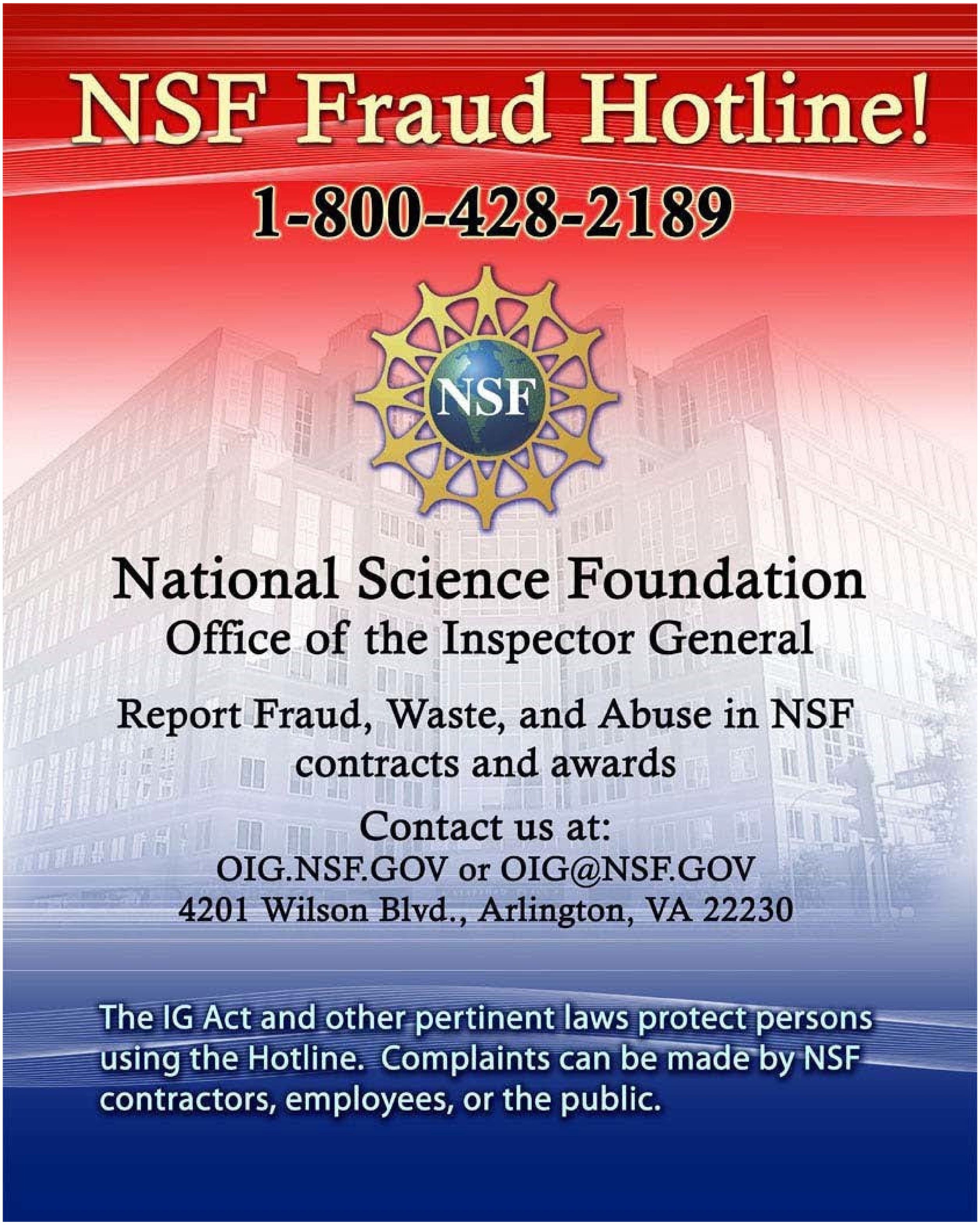
Questions regarding this policy should be directed to: Job Title: Director of Contracts and Compliance Department: Legal Affairs and Compliance Phone: 478-825-4284

Forms and Resources Directory

All forms and referenced policies below are maintained at their live sources. Use the access path listed to obtain the current version. Paper or outdated versions will not be accepted.

Form / Document	How to Access	Notes
Notice of Intent to Submit (OSP Form One)	www.fvsu.edu/sponsored-programs → Resource Center	First step in proposal submission; due 15 business days before agency submission date.
Proposal Submission Form 2.0 (OSP Form Two)	www.fvsu.edu/sponsored-programs → Resource Center	Second step in proposal submission; due 10 business days before agency submission date.
Faculty Time Release Form	www.fvsu.edu/sponsored-programs → Resource Center	
Department Chair or Supervisor Proposal Endorsement Form	www.fvsu.edu/sponsored-programs → Resource Center	
Sponsored Funding Incentive Policy	www.fvsu.edu/sponsored-programs → Resource Center	
Personnel Action Notice (PAN)	Dynamic Forms → HR menu	Required before hiring or paying personnel on sponsored funds.
Intellectual Property Disclosure Form	fvsu.edu/wp-content/uploads/2018/08/Intellectual-Property-form-8162018.pdf	Fillable PDF; return to an Intellectual Property Committee member upon completion.
University System of Georgia IP Policy	usg.edu/policymanual/section6/C352	Governed and updated by USG, not FVSU; referenced rather than reproduced so it stays current.
Quarterly Progress Report (Title III)	Dynamic Forms → Title III menu	Also listed in the Title III Forms Directory (Appendix A).

Form / Document	How to Access	Notes
Title III Travel Report / Travel Application	Dynamic Forms → Title III menu	Also listed in the Title III Forms Directory (Appendix A).
Contract Routing Form	MyApps Dashboard → Doc Juris app	Also listed in the Title III Forms Directory (Appendix A).
Consultant's Report (Title III)	Obtain from the Title III Office	Also listed in the Title III Forms Directory (Appendix A); requires external signature.
Report of Property Disposal	Plant Operations webpage	Also listed in the Title III Forms Directory (Appendix A).
Report of Property Transfer	Plant Operations webpage	Also listed in the Title III Forms Directory (Appendix A).


NSF Fraud Hotline!
1-800-428-2189
NSF
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.

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