

NORTH CAROLINA CENTRAL UNIVERSITY
TITLE III
OPERATIONS MANUAL

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I. INTRODUCTION

The Title III Program is funded under the Higher Education Act of 1965 (HEA), as amended by the Higher Education Amendments of 1986 (and subsequent amendments), Pub. L. 99-498, the Omnibus Budget Reconciliation Act of 1986, Pub. L. 99-509, and the Higher Education Technical Amendments Act of 1987, Pub. L. 100-50. The 1998 Amendments to the Higher Education Act of 1965 were enacted by the Senate and House of Representatives of the United States of America in Congress assembled to extend the authorization of programs under the Higher Education Act of 1965, and for other purposes, P.L. 105-244. The Higher Education Opportunity Act (Public Law 110-315) (HEOA) was enacted on August 14, 2008, and reauthorizes the Higher Education Act of 1965, as amended (HEA). Further amendments appear in Pub. L. 100-369. The FUTURE Act program is listed as Part F of the HEA and is governed by the same Code of Federal Regulations as that of the Undergraduate Program.

- (1) For awards made after December 26, 2014, the following are applicable:
 - (a) 2 CFR Part 200, Uniform Guidance – Uniform Administrative Requirements, Cost Principles, and Audit Requirements; and
 - (b) The Education Department General Administrative Regulations (EDGAR), Parts 75-79 and 81-99.
- (2) Code of Federal Regulations (CFR) 34 CFR Part **608** and **609** (Strengthening Historically Black Colleges and Universities Program).

II. UNIFORM GUIDANCE

The North Carolina Central University (NCCU) Title III Office operates under the new federal *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)* regulations effective for all federal awards made after December 26, 2014, as adopted by the University.

The Executive Office of the President, Office of Management and Budget (OMB), has streamlined the Federal government's guidance on Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards. These modifications are a key component of a larger Federal effort to more effectively focus Federal resources on improving performance and outcomes while ensuring the financial integrity of taxpayer dollars in partnership with non-Federal stakeholders. This guidance provides a government-wide framework for grants management that is complemented by additional efforts to strengthen program outcomes through innovative and effective use of grant making models, performance metrics and evaluation.

This reform of OMB guidance is designed to reduce administrative burden for non-Federal entities receiving Federal awards while reducing the risk of waste, fraud and abuse. This final guidance supersedes and streamlines requirements from OMB Circulars A–21, A–87, A– 110, and A–122 (that have been placed in the OMB guidance); Circulars A–89, A–102, and A– 133; and the guidance in Circular A–50 on Single Audit Act follow-up.

The final guidance is located in Title 2 of the Code of Federal Regulations. The Uniform Guidance does not broaden the scope of applicability from existing government-wide requirements, affecting Federal awards to non-Federal entities including state and local governments, Indian tribes, institutions of higher education, and nonprofit organizations. Parts of it may also apply to for-profit entities in limited circumstances and to foreign entities as described in this guidance and the Federal Acquisition Regulation. This guidance does not change or modify any existing statute or guidance otherwise based on any existing statute. This guidance does not supersede any existing or future authority under law or by executive order or the Federal Acquisition Regulation.

III. TITLE III GRANT PROGRAMS

A. **PURPOSE OF THE TITLE III PROGRAM, PART B**

The purpose of the Title III program is to assist eligible institutions in “equalizing educational opportunity through a program of Federal assistance.” Institutions that are eligible under Part B of the Act, the Part under which North Carolina Central University’s Title III Program is funded, are Historically Black Colleges and Universities established prior to 1964 and whose principal mission is the education of Black Americans. The U.S. Department of Education established the Title III Program, referred to as the *Strengthening Historically Black Colleges and Universities Program*, to offer financial assistance to “establish or strengthen the physical plants, financial management, academic resources, and endowments of historically black colleges and universities (HBCUs).” Part B is a discretionary grant program, while Part F (also known as the *Fostering Undergraduate Talent by Unlocking Resources for Education Act* or FUTURE Act) is a mandatory program. Both are meant to strengthen HBCUs so they may continue their unique role of educating Black, educationally disadvantaged, and low-income students. It is also intended to facilitate a decrease in reliance on government financial support and to encourage reliance on endowments and other private sources of funding.

Financial assistance is made available in five-year cycles, with eligible projects from qualified institutions being approved annually by the U.S. Department of Education. A listing of eligible institutions is published in the Federal Register.

Program Focus Areas - Part B

Program Focus Areas: Fiscal Stability, Institutional Management, Student Services and Outcomes, and Academic Quality (**FISA**) - Refers to broad areas that reflect the major intent or purpose of the various Title III and V programs.

Below are samples of activities or events that might fit into these four focus areas. These samples are not an exhaustive list of all the types of activities possible within the grant. They are not meant to imply specific types of activities should have been carried out in an institution's Project. The samples are provided to guide institutional categorization of its activity(ies). While it can be argued that everything that an institution does has the ultimate goal of improving student outcomes, it is recognized that not all grant activities are designed to have measurable student outcomes during the grant period. However, each Activity's goals during the grant period must fall into one of the four categories (**FISA**).

- (1) **Fiscal Stability:** *Through support from the Title III program, improvements in functionality will allow the institution to serve new client bases, thereby expanding its funding base. Establish a development office, train development staff, strengthen alumni relations, establish and/or expand the donor database, build capacity to attract external support, build and manage endowment(s), increase tuition dollars from enrollment, increase research dollars.*
- (2) **Institutional Management:** *Improvements to the institution's student services, improvement of institutional policies and practices, and data-driven decision-making will be fueled by enhancement and expansion of the technological infrastructure. Create and maintain management information system(s), develop, integrate and update data base(s), staff and train an institutional research office, train and develop staff (other than teaching faculty), Library facilities (construction, renovation), improved institutional management (faculty and staff personnel management, community affairs, outreach office, recruiting), construction and renovation (classrooms, teaching labs), infrastructure for the internet.*

(3) **Student Services and Outcomes:** *In keeping with the institution's "students first" approach, improving those services which directly and indirectly impact on student success. **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 and professional degree programs.*

(4) **Academic Quality:** *Continued enhancement of the institution's academic programs through investment in technology, research initiatives, faculty and staff. 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 the ratio of non-academic staff to academic staff, change the ratio of the number of students to faculty, 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).*

According to CFR 34 Subpart B, Paragraph 608.10, the following activities are allowable and can be carried out under this grant:

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional or 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, faculty development and faculty fellowships to assist these faculty members in attaining advanced degrees in their fields 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 the program, preparation for teacher certification;
- (11) Establishing community outreach programs that will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education;
- (12) Establishing or improving an endowment fund;
- (13) Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities;
- (14) 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;
- (15) 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;
- (16) Other activities proposed in the application submitted pursuant to section 1063a of this title 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.

Additionally, CFR 34 Subpart B, Paragraph 608.10, states the following activities are unallowable and cannot be carried out under this grant:

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

B. PURPOSE OF THE TITLE III PROGRAM, PART F - FUTURE ACT

The Non-Competing Continuation (NCC) funding for HBCU Part F, falls under the Title III, Part F, Section 371 of the Higher Education Act of 1965 (HEA), as amended. Mandatory funding for the HBCU Title III, Part F Program was permanently extended under the Fostering Undergraduate Talent by Unlocking Resources for Education Act or the FUTURE Act, H.R. 5363 on December 19, 2019.)

HBCUs are required to submit a new application every five years to address the request for additional funding. The Comprehensive Development Plan (CDP) is a five-year plan:

- A. A comprehensive development plan must describe an institution's strategy for achieving growth and self-sufficiency by strengthening its:
 - a. Financial management
 - b. Academic programs

- B. The comprehensive development plan must include the following:
 - a. An assessment of the strengths and weaknesses of the institution's financial management and academic programs.
 - b. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessment described in paragraph (b)(1) of this section.
 - c. A listing of measurable objectives designed to assist the institution to reach each goal with accompanying timeframes for achieving the objectives.
 - d. A description of methods, processes and procedures that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

(Approved by the Office of Management and Budget under control number 1840 0113) (Authority: 20 U.S.C. 1063a)

The same data submitted in response to the Phase I Formula Data are used to calculate awards for this additional funding.

Applicants are required to submit a project abstract. The project abstract is limited to one page, single-spaced. The project abstract must include information about the institution's proposed five-year project, providing a brief summary of the proposed activities and how they will address the goals and objectives of the Title III, Part F Program, with priority given to the following legislative allowable activities:

- (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) Academic instruction in disciplines in which Black Americans are underrepresented;
- (4) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- (5) 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; and
- (6) Other activities, consistent with the institution's comprehensive plan and designed to increase the institutions capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

The Comprehensive Development Plan must give a description of the activities to be carried out, and it must show how grant funds will be used to supplement, and to the extent possible, increase the funds that would otherwise be made available for the activities to be carried out in the grant. In no case may Title III funds take the place of funds that would otherwise be available (supplanting).

C. PURPOSE OF THE TITLE III GRADUATE PROGRAM (HBGI)

The ***Strengthening Historically Black Graduate Institutions Program*** provides grants to the institutions listed in the Code of Regulations part §609.2 to assist these institutions in establishing and strengthening their physical plants, development offices, endowment funds, academic resources and student services so that they may continue to participate in fulfilling the goal of equality of educational opportunity in graduate education.

The following regulations apply to this part:

- (a) The Department of Education General Administrative Regulations (EDGAR) as follows:
 - (1) [Reserved] EDGAR has not yet been revised
 - (2) The following sections of 34 CFR part 75 (Direct Grant Programs): §§75.1-75.104, 75.125-75.129, 75.190-75.192, 75.230-75.261, 75.500, 75.510-75.519, 75.524-75.534, 75.580-75.903, and 75.901
 - (3) 34 CFR part 77 (Definitions that Apply to Department Regulations)
 - (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities)

- (5) 34 CFR part 82 (New Restrictions on Lobbying).
- (6) [Reserved]-Not Yet Revised
- (7) 34 CFR part 86 (Drug-Free Schools and Campuses)
- (b) The regulations in this Part 609
 - (c)(1) 2 CFR part 180 (OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement)), as adopted at 2 CFR part 3485, and
 - (2) 2 CFR part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), as adopted at 2 CFR part 3474

The Secretary may make awards up to five years.

Allowable Activities. Except as provided in paragraph (b) of this section, a grantee may carry-out the following activities under this part—

—Section 326(c) (20 U.S.C. 1063b(c):

- (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) Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials;
- (4) Scholarships, fellowships, and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;
- (5) Establishing or improving a development office to strengthen and increase contributions from alumni and the private sector;
- (6) Establishing or maintaining an institutional endowment under 34 CFR, part 628 to facilitate financial independence;

- (7) Funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems;
- (8) Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities;
- (9) 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 Title IV;
- (10) 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 not more than two percent of the grant amount may be used for this purpose;
- (11) Tutoring, counseling and student service programs designed to improve academic success; and
- (12) Other activities proposed in the application submitted under subsection (d) 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) Unallowable Activities. A grantee may not carry out the following activities under this part—

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

- (c) *No award* under this part may be used for telecommunications technology equipment, facilities or services, if such equipment, facilities or services are available pursuant to section 396(k) of the Communications Act of 1934.

The Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Title 2 of the Code of Federal Regulations (CFR) Part 200 (Uniform Guidance), list other non-allowable expenditures. (*See: Appendix I – Allowability of Specific Items of Cost*).

IV. RELATION OF TITLE III ACTIVITIES TO THE MISSION OF THE UNIVERSITY

All Title III activities must support the mission and goals of the University. The institutional mission statement identifies certain distinguishing characteristics of the students the University proposes to serve and the programs of study it proposes to offer. *The Title III activities must address major weaknesses that inhibit the institution from realizing its mission as identified by the University's Strategic Plan.*

How Title III Funds Are Allocated

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

The Grant Allocation Formula

1. Number of Pell Grant recipients at the University during the school year immediately preceding the year of application x 50% of appropriations Number of Pell Grant recipients at all applicant institutions during the school year immediately preceding the year of application;
2. Number of graduates at the University during the school year immediately preceding the year of application x 25% of appropriations;
3. Number of graduates of the University during the school year immediately preceding the year of application; and
4. Percentage of graduates, 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 Black Americans are underrepresented x 25% of appropriations. The sum of the percentages of those graduates of all applicant institutions.

5. Add the amounts obtained in 1, 2 and 3.

Eligibility for Continuation Funds

Once the University receives a five-year Title III grant, the Department of Education will consider continued funding of the application if (1) funds are available, (2) the Department determines that continuing the project would be in the best interest of the government, and (3) the recipient shows satisfactory progress toward the goals of the project and submits a continuation application.

V. NORTH CAROLINA CENTRAL UNIVERSITY TITLE III OFFICE ROLES AND RESPONSIBILITIES

The Title III Office serves as the administrative unit for the HBCU program. The primary goal is to ensure that the institution remains in compliance with federal regulations and informs the Chancellor and the NCCU Title III community of the latest trends affecting the use of Title III funds received from the United States Department of Education. (*See: Appendix II – Organizational Chart*).

Organizational Objective

To ensure Title III funds are utilized to strengthen the academic and administrative services of North Carolina Central University and provide effective management of the Title III funds in accordance with the regulations in 2 CFR. 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards).

Management and Compliance

All Title III Activities will be monitored to ensure that the activities are in compliance and attaining the outcomes stated in the approved Plan of Operation.

1. Internal Reviews

- a.*** Budget Review
- b.*** Progress of Activity (measurable objectives and outcomes)
- c.*** Inventory Review
- d.*** Internal Evaluation

2. **Reports**

- a. The Activity Coordinators will send electronically a Budget Summary Report to the Title III Director for review and reconciliation. (*Click [here](#) for the report template.*)
- b. The University utilizes the Taskstream reporting system for internal progress reporting on a quarterly basis. Progress Reports submitted by the Activity Coordinators to the Title III Office will be used to complete the Interim and Annual Performance Reports due to the U. S. Department of Education. (*Click [here](#) for Instructions.*)
- c. Data are collected and analyzed by the Title III Director to complete the Phase I Report required by the U. S. Department of Education to determine institutional awards.
- d. Time and Effort is to be certified via ECC (Employee Compensation Compliance) each term (Fall, Spring and Summer) by the Activity Coordinator. These certifications must be submitted by the Activity Coordinator or supervisor who has first-hand knowledge of their time and effort, thirty day following the ending of each term the employee was compensated; the electronic record is routed to both the Office of Sponsored Research and Programs and the Title III Office. Failure to comply with this federal requirement will result in the employee not being compensated. All Time and Effort Certifications must reflect the daily tasks and activity objectives related to the associated monthly effort of contribution.
- e. Per agency guidelines an Annual Performance Report (APR) must be submitted. The report should demonstrate that substantial progress has been made toward meeting the objectives of the project.

3. **External Evaluations and Technical Assistance**

It is recommended that an external evaluation be conducted, annually. In consultation with the Chancellor, the Director/PI Title III Programs will recommend external evaluators to conduct the evaluations. Also, when needed, technical assistance will be scheduled with external contractors.

4. **Training**

One of the main responsibilities of the Title III Office staff is to meet the needs of Activity Coordinators and support staff by providing guidance on the processes and procedures pertaining to Title III. Specifically, the Title III Office is also responsible for providing support and training for effective management of the Title III funds. The Title III Office may use an external facilitator to assist with one-on-one guidance and support for the Title III Activity Coordinators and their staff, as needed. Annual support and training by the office is inclusive of:

1. Streamlining processes for effective management and processing of pertinent Title III forms.
2. Attending required meetings to stay abreast of the latest trends affecting Title III.
3. Establishing effective ways to communicate Title III processes, requirements and DOE updates to Administrators, Activity Coordinators and support staff.

Note: The Title III Office is not responsible for training Activity Coordinators and staff on University policies and procedures.

VI. RESPONSIBILITIES OF NORTH CAROLINA CENTRAL UNIVERSITY TITLE III ACTIVITY COORDINATORS

Activity Coordinators are responsible for the overall management and day-to-day operations of their respective Activity. Additionally, Activity Coordinators are responsible to the Title III Office for matters related to the procedural and regulatory compliance of their Activity. This includes reporting requirements; allowable expenditures, record keeping, and any modifications to the activity budget and objectives. Only Activity Coordinators and designated support staff should initiate requests for funds, and the requests must be based upon the approved HBCU B, F and HBGI budgets.

Activity Coordinators' Roles and Responsibilities Include:

1. Preparing the five-year Plan of Operation for the Activity and the Annual Phase II Title III plan for continuation of funding (*See: Appendix III – Guidelines for Preparing Annual Title III Proposals*).
2. Ensuring that the Activity's Plan of Operation addresses the goals and objectives of the institution's Strategic Plan and the Title III Comprehensive Development Plan submitted to DOE.
3. Developing measurable objectives and performance measures that clearly identify the Activity's anticipated outcomes (*See: Appendix IV – Writing Measurable Objectives and Performance Measures and Click [here](#) for the Changes to Objectives form*).
4. Maintaining up-to-date records of all expenditures and obligations charged to the Activity and request use of funds in a timely manner to ensure that all funds are used annually by May 30.
5. Understanding that all funds not encumbered by May 30 annually will be swept and used to support additional projects identified by the Administration.
6. Expending 100% of the funds allocated to the Activity, annually.
7. Maintaining up-to-date records and documentation of programmatic achievements of the activity.

8. Completing and submitting timely progress reports to the Title III Office and appropriate programmatic reports required by the US Department of Education (USDOE) and the University, including Regular Monthly Budget Reports, Quarterly Reports through the Taskstream reporting process, Interim Performance Reports (IPRs), and Annual Performance Reports (APRs).
9. Attending scheduled trainings for Activity Coordinators and support staff.
10. Ensuring all vacated and new positions are filled within three (3) months of the separation date and that all Title III funded positions are devoted to the percent of effort designated in the Activity towards the accomplishment of the Activity goals and objectives.
11. Preparing for and participating in required internal and external evaluations, inventory reviews, and audits.
12. Time and Effort is to be certified via ECC (Employee Compensation Compliance) each term (Fall, Spring and Summer) by the Activity Coordinator. These certifications must be submitted by the Activity Coordinator or supervisor who has first-hand knowledge of their time and effort, within 30 days following the ending of each term the employee was compensated; the electronic record is routed to both the Office of Sponsored Research and Programs and the Title III Office. Failure to comply with this federal requirement will result in the employee not being compensated. All Time and Effort Certifications must reflect the daily tasks and activity objectives related to the associated monthly effort of contribution.
13. Ensuring that all budget requests are submitted to the Title III Office within the timeframes indicated in this manual, and that all documents required to support the request(s) are attached for review.
14. Ensuring that all request(s) are approved/denied by the Director/PI Title III Programs before requesting payment, travel, and/or purchase of supplies, equipment, etc.
15. Ensuring that all encumbrances are cleared by the deadlines set by the Title III Office.

VII. FISCAL MANAGEMENT

A. PERSONNEL

For all Title III positions, there must be a search procedure to ensure that the hiring of persons supported by Federal funds is in compliance with all applicable Federal regulations and is within the framework of the Title III Comprehensive Development Plan. Documentation for personnel management is essential and should be kept according to the guidelines that follow.

Hiring of Personnel

Personnel are to be hired in a nondiscriminatory manner according to the provisions of the University's policies and procedures (*See: NCCU Website for Employment Policies*). The Title III Office requires the Activity Coordinator to provide a résumé and job description for each person who is hired to work under the approved Title III Activity in the grant. Also, a copy of all résumés and job descriptions of persons selected for Title III jobs should be on file with Human Resources (HR), the Activity Coordinator and the Director/PI Title III Programs. All regular University hiring procedures will be followed in the hiring of personnel for the Title III grant. The following procedures should be used to fill Title III positions:

1. Activity Coordinator completes the appropriate personnel recruitment forms, as required by Human Resources, and forwards the completed form to the proper offices for approval. (*Note: Federal regulations require that the Director/PI Title III Programs or designee sign all documents.*)
2. Office of Human Resources advertises position via requested medium.
3. Office of Human Resources reviews all applications and refers to the supervisor only those that meet the qualifications for the position advertised.
4. Activity Coordinator interviews the prospective employee(s).
(*Note: No applicant should be interviewed before the first three steps have been taken.*)
5. After a potential employee has been selected, HR completes a Personnel Action form and forwards it to the proper offices for approval.
(*Note: The new employee must not begin work prior to the processing of this form and the receipt of a letter of employment from HR.*)
6. Employees paid from the Title III grant are employed for the period stipulated in the grant. The Title III Office must receive a copy of the credentials of all persons hired with Title III funds. A copy of the employee's employment vita or résumé will serve this purpose.

Employee Separation

When employees leave or are replaced for any reason, the Title III Office must be informed immediately in writing with appropriate documentation. Copies of correspondence, resignation letters and appropriate HR forms will serve this purpose.

Reports of Time and Effort of Employees

The USDOE requires documentation of time spent working on Title III activities by all persons full or partially paid with Title III funds. These certifications must be submitted by the Activity Coordinator or supervisor who has first-hand knowledge of their time and effort. (*See: NCCU Website to access certification system*).

Faculty Compensation for Work Performed

Federal regulations described in 2 CFR 200.430, Subpart E, Cost Principles, limit the amounts that may be paid for work performed in the grant. The regulations also prohibit payments for intra-University consulting. Faculty stipends will be paid once the research, workshop, and/or assignment has been completed. Summer research stipends may be handled differently if the Activity Coordinator and Supervisor request that no more than half of the stipend be expended to begin the research. Requests to pay Faculty stipends must have the following documentation: ***Purpose, Objectives, Outcomes, and Assessment. A document of the research assignment and/or workshop must accompany the request for payment of the stipend.***

Salary Rates for Periods Outside the Academic Year

Charges for work performed by faculty members on Government research during the summer months or other periods not included in the base salary period will be determined for each faculty member at a monthly rate not in excess of that which would be applicable under the base salary and will be limited to charges made in accordance with the paragraph above.

Reports of Release Time for University Employees

The University is required to document the release-time efforts of employees. To avoid supplanting University funds, the University must continue to pay for the work from which an employee is released, and the University must document the funds paid. Faculty and staff who are released from their regular duties to work on the Title III project are subject to the salary limitations described in the University's policies and procedures.

B. BUDGET

Programmatic Changes and Budget Revisions

The budget plan is the financial expression of the project or program as approved during the award process. It may include either the Federal and non-Federal share, or only the Federal share, depending upon ED requirements. It shall be related to performance for program evaluation purposes whenever appropriate. Recipients are required to report deviations from budget and program plans, and request DOE prior approvals for budget and program plan revisions in accordance with the following:

- Change in the scope or the objective of the project or program.
- Change in a key person specified in the application or award document.
- The absence of more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

- Need for additional Federal funding.
- The inclusion, unless waived by the Secretary, of costs that require prior approval in accordance with Uniform Guidance 2 CFR 200.308.
- Transfer of funds allotted for personnel, fringes, equipment, and training stipends.
- Unless described in the application and funded in the approved awards, the sub-award, transfer or contracting out of any work under an award.

Recipients are required to acquire approval from the Title III Director/PI for the following deviations:

- Transfer of funds allotted for travel, supplies, contractual, construction, equipment and other;
- Creation of a new line under the above categories; and
- Acquisitions of items that are a part of the above categories, but were not included in the approved budget.

Requests to USDOE from the Director/PI Title III Programs to Redirect the Use of Funds

Requests made to redirect the use of funds should adhere to the following:

1. The budget item to be reduced must be identified and the reduction fully justified.
2. The budget items to be increased must be identified along with the amount of the increase and the amount originally approved. The increase must be fully justified.
3. For DOE requests, the letter of request must be signed by the *Director/PI Title III Programs* or an official representative of the institution. A request without the official signature will not be processed.
4. The request must be received at least 60 days prior to the expected implementation date.

Budget Revisions/Transfers

Budget revisions/justifications that require transfer of funds among University budget categories should be prepared in Self-Serve Banner (SSB). A Budget Transfer form must accompany the budget revision requests. Budget revisions/justifications should be made in accordance with the Programmatic Changes and Budget Revisions explained in this manual and requests must be approved by the Title III Office. ([Click here for Budget Transfer form.](#))

Program Income

Program income includes income from fees for services performed, from the use or rental of real or personal property acquired with Title III funds, and from the sale of commodities or items fabricated under an approved project. Program income does not include interest on grant funds, rebates, credits, discounts, refunds, etc. and interest earned on any of them. Except provided

for otherwise, program income may be used in one of the following ways:

- (1) added to funds committed to the project by the US Department of Education and used to further eligible project or program objectives;
- (2) to finance the non-Federal share of the project or program; or
- (3) deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

VIII. PROCUREMENT POLICIES AND PROCEDURES FOR RESTRICTED (GRANT) AND NON-RESTRICTED (UNIVERSITY) FUNDS

A. PROCUREMENT

In conformity with the Office of Management and Budget's federal guidelines for procurement (2 CFR 200.300), the University will utilize one of five methods for procurement of items purchased with restricted/grant or non-restricted funds. The method of procurement utilized is based on the type of acquisition. The five methods of procurement are described below:

Micro-Purchases: Procurement by micro purchases are defined as purchases valued less than \$3000 (\$2000 for acquisition for construction items). These purchases do not require a bid process. It is the policy of the University that all purchases, including micro purchases, restricted or unrestricted, be requisitioned and approved through the University's electronic requisition system (Eagle's Purch/Banner). This is the first step that must be completed to acquire a University purchase order for goods/services. Invoices may not be used to generate a requisition after goods and services of micro purchases are received. This would be in direct violation of the University's procurement policy and would be considered an unauthorized purchase.

A quote should be requested from the vendor, and this quote should be used to enter a requisition in Banner. Procurement Services may require the user to obtain additional quotes for review and approval before purchases are executed. Procurement Services may also request a copy of the quote for reference. Micro purchases require approval hierarchy in Banner as do all requests for goods and services for the University.

North Carolina Central University operates in a centralized procurement environment, and Procurement Services provides the University with an on line Preferred Vendor list which supports the majority of micro purchases and streamlines the need to obtain quotes from various outside vendors. The Preferred Vendor list is not a sole sourced list but one that offers several vendor

choices for a specific commodity. It is the policy of the University to support equality and fairness with vendors regardless of classification (minority owned, corporation, women owned, etc.) or purchase value for goods/services.

Procurement by Small Purchases: The procedure for acquiring an item valued at \$3,000 but less than \$25,000, is similar to the method for making micro purchases (see above), however, requests for purchases in this category must include price or rate quotes obtained from an adequate number of sources (as determined by Procurement Services/3 quotes). The Office of Procurement Services can assist in obtaining such quotes and/or sources if necessary.

If an item is valued at \$3000, but less than \$25,000 and 3 quotes are unavailable (i.e. sole vendor was pre-approved in a grant proposal by the awarding agency, etc.) the purchase may qualify under the non-competitive proposal/sole source provider methodology. (See Page 6 “Procurement by Non-Competitive Proposals”).

Procurement by Sealed Bids, Competitive Proposals/Non-Competitive Proposals: Procurement of items valued greater than \$25,000 will be accomplished utilizing sealed bids, competitive proposals or non-competitive proposals (sole source provider).

Procurement by Sealed Bid: If the procured service(s) or good(s) lends itself to a firm fixed price contract valued greater than \$25,000, and the award will be made in writing to the lowest responsive and responsible bidder, the sealed bid methodology is most appropriate. Bids are publicly solicited from at least three known suppliers and invitation for bids publicly advertised. Bids solicitations will provide bidders time to prepare bids prior to the date set for opening the bids. In such cases, all bids will be publicly opened at the time and place prescribed in the invitation for bids. Please contact Procurement Services for assistance in drafting all bid solicitations and other documentation when utilizing this method of procurement.

Procurement by Competitive Proposals: If the procured service(s) or good(s) lends itself to a firm fixed price contract valued greater than \$25,000, and the award will be made to the responsible firm whose proposal is most advantageous to the recipient’s program with price and other factors considered, the competitive proposal methodology is most appropriate. When procurement of services/goods requires the use of competitive proposals (3 bids are required). Procurement Services is available to assist, if necessary, the requesting Department or Principal Investigator in the development of a Request for Proposals (RFP), which will include, but is not

limited to, the following: a scope of work, sub-contractor/vendor requirements and terms and conditions. If the vendor/subcontractor selected will be compensated utilizing federal funding, solicitations must include any federal terms and conditions to which the University is bound. This may include but is not limited to: the selection of vendors/subcontractors with environmentally sustainable policies, and the inclusion of positive efforts towards the use of small, disadvantaged and minority owned firms.

Procurement by Non-Competitive Proposals: Procurement by non-competitive proposals (sole source provider) may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids, or competitive proposals and at least one of the following circumstances applies:

- When the supplies or services are available from only one responsible source, and no other type of supplies or services will satisfy the recipient's requirements;
- When the recipient's need for the supplies or services is of such unusual and compelling urgency that the recipient would be seriously injured unless the recipient is permitted to limit the number of sources from which it solicits bids or proposals, or when the public exigency or emergency for the requirement will not permit a delay resulting from a competitive solicitation;
- The University and funding agency (in the case of restricted funding) has authorized non-competitive proposals/negotiations prior to awarding.

B. CONTRACTUAL

When entering into contracts utilizing federal funds, North Carolina Central University adheres to strict standards and guidelines to ensure compliance with federal regulations (*See: NCCU Website for Forms Pertaining to Contractual Agreements*).

Lecturer/Speaker/Facilitator

Prior approval is required to use a lecturer, speaker or facilitator other than those identified in the application for Title III funds. To use a lecturer, speaker or facilitator complete the ***Guest Speaker Agreement Form*** and submit the form to Title III Director for approval prior to entry of the requisition. All lecturers, speakers or facilitators must be in accord with the objectives of the grant. If the lecturer, speaker or facilitator is "New: (has never conducted business with North Carolina Central University) a New Vendor Profile (which is an online profile) is required and must be approved before the Purchase Order can be generated.

Vendor/Independent Contractor

Additionally, University policy requires that an Independent Contractor Agreement Form be completed and submitted with a Banner requisition when Title III funds are used to engage a lecturer/speaker/facilitator for more than one day, vendor or independent contractor.

Payment of Fees

All expenses must be included in the fee. The Title III Office will not pay separate travel, lodging or other expenses incurred by lecturers, speakers, facilitators or independent contractors.

Standards for Documentation of Use

The following information represents the minimum standards for documentation in support of using lecturers, speakers, facilitators or independent contractors:

1. Evidence that the services are needed and the need cannot be met by direct salaries provided under the grant or by employees of the University.
2. Evidence that a selection process has been employed to secure the most qualified individual available, considering the nature and extent of the services to be required.
3. An approved Independent Contractor's Agreement to be approved stating the "Scope of Work" and following the Procurement process, followed by an approved Banner Requisition.

All budget items not classified as personnel, supplies, travel, contractual, construction/renovation or equipment are included in the budget classification "Other."

Contract Purchases

The University agrees to contract purchases where a dollar amount has been agreed upon to complete a job, usually within a designated weekly/monthly amount. The entire agreed upon dollar amount should be entered in Banner as a requisition. Procurement will enter the purchase in Banner as an open purchase order. This encumbers the funds and each time an invoice is received for the service rendered, it should be approved and sent to Accounts Payable for payment. Banner allows the purchaser to see each time payments are made, and Banner will subtract the payment from the initial amount of the purchase order. All contracts, including small purchases, awarded by recipients and their contractors must contain the procurement provisions to this part, as applicable. Federal Terms and Conditions to be signed by the vendor:

1. Equal Employment Opportunity
2. Copeland "Anti-Kickback" Act
3. Davis-Bacon Act, as amended

4. Contract Work Hours and Safety Standards
5. Rights to Inventions Made Under a Contract or Agreement
6. Clean Air Act and the Federal Water Pollution Control Act
7. Byrd Anti-Lobbying Amendment
8. Debarment and Suspension

Title III Supplemental Procurement Procedures (Uniform Guidance 2, CFR 200.205)

"Debarment and Suspension (E.O. 12549 and E.O. 12689) — No contract may be made to parties listed on the General Services Administration's List of Parties Excluded from Federal Procurement or Non-Procurement Programs in accordance with E.O. 12549 and E.O. 12689 — Debarment and Suspension. This list contains the names of parties debarred, suspended, or otherwise excluded by agencies, and contractors declared ineligible under statutory or regulatory authority other than E.O. 12549. Contractors with awards that exceed the small purchase threshold must provide the required certification regarding its exclusion status and that of its principal employees."

Special Conditions for Disclosing Federal Funding in Public Announcements

When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects and programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants shall clearly state:

- (1) the percentage of the total costs of the program or project which will be financed with Federal money;
- (2) the dollar amount of Federal funds for the project or program;
- (3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Unauthorized Purchases

North Carolina Central University operates on an electronic requisitions/purchase order system. Accordingly, all purchases for goods and services must be transacted through the purchase order process. The Check Request method of payment requires prior approval from the Director of Purchasing. Expenditures submitted as a Check Request that should have been submitted as a purchase order will be returned to the requester and could result in nonpayment. No individual is authorized to enter into purchase contracts or in any way obligate the University for procurement indebtedness without approved purchase orders. Such negotiations are considered unauthorized

purchases, and the individual entering into these non-authorized activities will be personally responsible for paying the vendor for services, supplies, or equipment received. Purchase orders are generated from the procurement department only. Submitting a requisition for an unauthorized service or product already received could result in disapproval or nonpayment.

Note: In alignment with the University’s policy, the Title III Office will not honor unauthorized purchases made with Title III funds. (Requests for payment after the fact will not be approved.)

Entertainment Expenses

Federal funds cannot be used for reimbursement of expenses for entertaining (such as award banquets and competitions). Any costs incurred for amusement, social activities, and any items relating thereto, such as meals, lodging, rentals, transportation, and gratuities, are not allowable.

When Obligations for Goods and Services Are Made:

If the obligation is for	the obligation is made
(a) Acquisition of real or personal property	On the date the University makes a binding written commitment to acquire the property
(b) Personal services by an employee of the University	When the services are performed
(c) Personal services by a contractor who is not an employee of the University	On the date which the University makes a binding written commitment to obtain the services
(d) Performance of work other than personal services	On the date which the University makes a binding written commitment to obtain the services
(e) Travel	When the travel is taken
(f) Rental of real or personal property	When property is used by the University

Monitoring by The Title III Office

The Title III Office will keep a record of activity expenditures and will review each requisition to determine the account balance before the requisition is processed. Activities should maintain their own record of expenditures, using the initiating copy of the requisition as documentation. With the exception of personnel and fringe benefits, all grant funds should be encumbered by May 30 of each year. Funds not encumbered will be swept June 1 of each year to support other approved projects.

IX. TRAVEL

Travel with Title III funds is allowable only for travel expenses identified in the approved grant application. Changes in approved travel must be justified and approved. All travel requires pre-approval by the supervisor, Activity Coordinator, and the Director/PI Title III Programs. The University is changing its Travel Policies, effective September 2018. (*See: NCCU Travel Office Regulation, Effective February 15, 2017*). The revised policies and procedures requires that the travel request be completed online and all travel related actions follow the same procedure.

Approval for Travel

Title III personnel who travel with grant funds must receive permission to travel using Title III funds from the Director/PI Title III Programs *no less than 30 days prior to the actual travel date. Note: Any requests received less than 15 days prior to the travel date if approved will require the traveler to pay all travel expenses in advance and seek reimbursement upon return.* Prospective travelers must include the total cost of the trip (airfare, taxi fare, registration fees, meals, mileage and lodging). Travel expenses must be limited to only those expenses that are necessary for providing essential services to North Carolina Central University and must be reasonable, necessary and actual. Travel must be related to achieving the goals and objectives of the specific Title III activity and a summary of the workshop/conference (Travel Report) must be attached to the expense report. The summary must indicate how the workshop/conference relates to the accomplishment of the respective Activity's measurable objectives and anticipated results. Travel related to presenting at a conference is not allowed. Students are not permitted to travel out of Title III HBCU-Part B or F (FUTURE Act) funds (*See: Appendix V – Travel Hints and Click [here](#) for the Travel Report form*).

Note: Documents to support the travel request, such as conference agenda, hotel, airfare, etc., must accompany the request. Travel requests, once approved, must be in accordance with the NCCU Travel Policy.

Travel by Public Carrier

Employees who travel by airline or other public carriers have two options for securing tickets: 1) Book through the travel agency approved by the University or, 2) Personal credit card. All tickets through the travel agency are automatically charged to the University's corporate travel card. Tickets secured by the second option will only be reimbursed after the trip has been completed if the travel was pre-approved by the Title III Office. The Provost must approve all

international travel for faculty. The Director/PI Title III Programs confirms the purchase of the ticket from Title III funds with the travel agency.

Note: The boarding pass stubs along with a hardcopy of the internet page showing total cost and confirmed service must be attached to the reimbursement voucher.

Meals and Incidentals: Meals and incidental travel expenses are reimbursable only for official business travel outside the traveler's official station. Reimbursement for said expenses will be reimbursed according to the *Travel Policy*.

Note: Per-diem rates are adjusted to accommodate for travel days and meals that are included in the conference registration costs.

Lodging: The University reimburses actual expenses (receipts required) up to a daily maximum rate plus taxes and surcharges. (See NCCU Travel Policy).

Other Business Expenses: Anticipated charges for business-related phone calls, postage, internet charges, etc. must be itemized on the travel request under “other” and must be charged to the University budget.

Note: A full, written explanation of these charges must be provided and where necessary receipts may be required. Title III funds are not available to cover these expenses. These expenses must be charged to the appropriate University budget.

Mileage: Personal vehicle usage must be approved in advance by the requestor’s supervisor and the Title III Office. The rate of reimbursement is provided in the *NCCU Travel Policies*.

Car Rental: Travel guidelines stipulate that rental car reimbursement cost will only be granted for official business. Title III will only approve rental car expenses when the traveler can demonstrate in writing that this mode of travel is more economical than utilizing public transportation to commute between the airport, hotel and conference site.

Note: Car rental must be approved in advance by the supervisor and the Director/PI Title III Programs; the original receipt must be attached to the reimbursement voucher.

Travel Advances

In accordance to the *NCCU Travel Policy*, the supervisor and the Director/PI Title III Programs will approve travel advances out of Title III grants. Currently, only advances for air fare and registration fees are approved by the University.

Note: All outstanding travel advances must be resolved within ten (10) days.

Reimbursements for Approved Travel

After the travel has taken place, (within 10 working days), prepare a Travel Reimbursement/Travel Expense Form along with a Travel Report. To the form, attach receipts for taxi fares, hotel accommodations, fees, and other reimbursable expenses. No receipts are required for meals. Secure the signature of the Activity Coordinator, Department Head, and/or the Provost, and submit the package to the Title III Director. **The package must include the Travel Report of the purpose for the travel and the impact on Activity related objectives and outcomes.**

Note: A copy of the conference itinerary, registration form, and summary/travel report of the workshop/conference must accompany the Travel Reimbursement/Travel Expense Form.

X. EQUIPMENT

Equipment is nonexpendable tangible personal property (including information technology systems) that has an acquisition cost of \$5,000 or more per unit and a useful life of more than one year (2 CFR 200.33).

Note: NCCU Title III policy recommends that items of this nature are acquired during the first quarter of the grant year. (See University Purchasing Policy) Equipment must be purchased during the first 5 months of the grant period (October 1 – March 1).

Acquisition of Equipment and other Facilities

The cost of permanent equipment or other facilities is allowable where such purchases are approved by the Sponsoring Agency concerned or provided for by the terms of the research agreement. Total expenditures for permanent equipment may not exceed 10 percent of the amount allotted for the permanent equipment category by the sponsoring agency and must be listed in the budget for purchase (through an approved budget or other document) with approval (*See: NCCU Website for Capital Assets Policies and Procedures*).

General Purpose Equipment

Approval must be obtained to acquire with Government funds any general purpose permanent equipment, i.e., any items which are usable for activities of the institution other than research, such as office equipment and furnishings, air conditioning, reproduction or printing equipment, motor vehicles, etc. or any automatic data processing equipment.

Limitations on Purchase of Equipment

Only items listed in the final approved Comprehensive Development Plan can be purchased without further approval by the USDOE. To order equipment included in the approved final plan, complete a requisition for purchase according to the instructions listed under procurement.

USDOE Equipment Management Requirements (Uniform Guidance 2 CFR 200.313)

Procedures for managing equipment (including replacement equipment) until transfer, replacement, or disposition takes place shall, at a minimum, meet the following requirements:

- (A) Property records shall be maintained accurately. (Retention and access requirements for these records are explained in Subpart D of the *Education Department General Administrative Regulations*. For each item of equipment, the records shall include:
1. A description of the equipment, including the manufacturer's model number, if any.
 2. An identification number.
 3. Identification of the grant under which the recipient acquired the equipment.
 4. The information needed to calculate the Federal share of the equipment
 5. Acquisition date and unit acquisition cost.
 6. Location, use, and condition of the equipment and the date the information was reported. All pertinent information on the ultimate transfer, replacement, or disposition of the equipment.

Disposition must be approved by the USDOE Program Officer.

- (A) A physical inventory of equipment shall be taken and the results reconciled with the property records at least once every two years to verify the existence, current utilization, and continued need for the equipment. A statistical sampling basis is acceptable. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the differences.
- (B) A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the equipment. Any loss, damage, or theft of equipment shall be investigated and fully documented.

(C) Adequate maintenance procedures shall be implemented to keep the equipment in good condition.

(D) Where equipment is to be sold, the Federal Government is to have a right to part or all of the proceeds; selling procedures shall be established which will provide for competition to the extent practicable and will result in the highest possible return.

Title III/University Inventory Guidelines

Management requirements. Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part under a Federal award, until disposition takes place will, as a minimum, meet the following requirements:

1. Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property (including the FAIN), who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
2. A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
3. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.
4. Adequate maintenance procedures must be developed to keep the property in good condition. Activity Coordinators, department heads and administrative unit heads will be responsible for acquisition and care of assigned equipment.
5. Any acquisition, disposal, or transfer of equipment should be promptly approved by the Director/PI Title III Programs and reported to the responsible person in Capital Assets or the Title III office.

The University will maintain an inventory of all land, buildings, and all equipment purchased with Federal funds. Microcomputers, laser printers, LCD projectors, digital cameras, laptop computers and firearms regardless of cost, will be included in the inventory. The records maintained by the Title III Office of equipment purchases made with Title III funds will be reconciled with the University's Asset Management System in April and October, annually.

Procedures for the Acquisition of New Equipment

When an activity acquires new equipment under a Title III grant, it is required to:

- Affix a Title III identification tag to the purchased item; Identification tags are available from the Title III Office.

- Complete the *Title III Equipment Purchased with Title III Funds* (Click [here](#) for equipment form.)
- Submit completed document to the Title III Director within 10 days of receipt of equipment.

Note: For any section that cannot be completed at the time of submission, indicate TBD (To Be Determined) and submit an updated document to the Title III Director once the information is available.

Procedures for Disposal of Capital Assets

Selling, trading or deleting from the inventory any item of University owned or non- owned equipment is not within a department heads' authority. This responsibility and authority has been assigned to the Capital Assets Consultant. This policy also applies to the disposal of the scrap, salvage, broken or obsolete equipment and surplus supplies. In connection with every cash sale of University equipment, the Capital Assets Office shall publicly advertise the sale of the equipment and secure at least three bids in writing. The equipment will be sold to the highest bidder.

Surplus Equipment

When disposing of equipment that becomes obsolete or is no longer in usable condition, the Activity is to follow the procedure below:

- Complete the *Movable Equipment Surplus/Disposal/Change in Location form* (See: *NCCU Website for Movable Equipment – Surplus, Disposal and Change in Location Policies and Procedures*). For items purchased utilizing unobligated funds, include the year of purchase and both the Activity fund number and the unobligated account number.
- Obtain the appropriate authorizations from Department Head and Activity Coordinator. Send the properly authorized document to the Title III Office for approval. Property cannot be ***disposed*** of until the USDOE grants permission.
- Once the permission has been granted by the USDOE, a copy of the completed document will be returned to the department and the original maintained for the Title III official files. The department is then responsible for completing the Capital Assets Office *Inventory Change and Property Disposition* Form and contacting Facilities Management Services (FMS) to schedule a pickup for the items to be disposed.
- Send the Title III Office a copy of the Inventory Change and Property Disposition Form approved by the Capital Assets' Office and copies of all subsequent documentation requested by the that office confirming the disposal of the item.

Lost or Stolen Equipment

Equipment that is lost or stolen should be reported on the *Title III Equipment Acquisition and Disposition Form*. Additionally, for lost or stolen equipment, the Activity is requested to submit a copy of the police report to the Director/PI Title III Programs and the Office of Capital Assets no later than three days after the report has been filed with campus safety. This report should include all pertinent information, such as budget fund number, NCCU ID number, serial number, and date of theft.

Loans and Transfers

Equipment is approved for use of requisitioning Activity only and should be moved only if the Activity is being moved to a different location. The Director/PI Title III Programs maintains responsibility for information on the location and use of all equipment purchased with Title III funds. Each Activity is requested to:

- Complete the Movable Equipment-Surplus/Disposition/Change in Location form in accordance with *Acquisition and Disposition of Real Property Regulations located at the NCCU Capitol Assets Website* to request a loan or transfer of equipment from one department to another or to remove Title III property from the campus.
- Submit the completed document to the Title III Office for approval prior to the transfer or the removal of equipment from campus Items on loan from other agencies or organizations are not included in the inventory.

Identification of Equipment Purchased with Title III Funds

All equipment purchased with Title III funds must be identified with a *Purchased through Title III Funds* identification tag that is supplied by the Title III Office. Additionally, 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 United States Department of Education.

Note: Please remember to retain a copy of all forms submitted to the Director/PI Title III Programs for your official records.

XI. TITLE III MONITORING, RECORD-KEEPING AND RETENTION REPORTING PROGRESS IN ACHIEVING TITLE III OBJECTIVES

The USDOE requires the University to keep records that show the amount of funds under the grant, how the grant funds were used, the total cost of the project, share of cost provided from other sources, and other records to facilitate an effective audit. The University must keep records that show compliance with program requirements and records that show significant project

experiences and results (*See: Appendix VI – Record Keeping Requirements*). These records must be retained for three years after the final financial report is submitted for the activity for which the funds were granted. Should any litigation, claim, or audit start before the expiration of the 3-year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.

The Secretary and the Comptroller General of the United States or any of their authorized representatives have the right of access to any books, documents, papers, or other records of the grantee which are pertinent to the grant, in order to make audit, examination, excerpts, and transcripts. The right of access is not limited to the required retention period but lasts as long as the records are retained.

REPORTING PROGRESS IN ACHIEVING TITLE III OBJECTIVES

Quarterly Review of Performance Year

In an effort to prevent excessive carry-over funds into the next fiscal year, recipients of the Title III grants must submit quarterly reviews of the performance of their HBCU, HBGI and FUTURE Act grant program expenditures due to the USDOE in August. In order to provide systematic documentation of the achievement of objectives for each of the grant activities, each Activity Coordinator is required to complete a quarterly report of progress in achieving grant objectives. The reports are to be placed in Taskstream, the University’s assessment and reporting online system.

Title III Programs	
Taskstream Quarterly Report Due	
Dates October 1 – September 30	
<u>Taskstream Quarterly Report Due Dates</u>	<u>For the Following Months</u>
1 st Quarter – Due January 14	October – December
2 nd Quarter – Due April 15	January – March
3 rd Quarter – Due July 15	April – June
4 th Quarter – Due October 14	July – September

Annual Performance Report

In response to the Government and Performance Report Act (GPRA) of 1993, the Annual Performance Report (APR) was modified to a web-based collection instrument. Its intent is to more accurately relay to Congress the effectiveness of the Title III Program in relation to the governing legislation that establishes its purpose. To receive a continuation award, recipients of the Title III grants must submit an Annual Performance Report (APR) that demonstrates that substantial progress has been made toward meeting the objectives of the project. The Annual Performance Report for each program is normally due in January of each year or by the deadline established by the U.S. Department of Education.

Note: Activity Coordinators will report the progress of their respective activity in qualitative and quantitative terms to the Title III Office in the October 15 progress report for each grant period.

The annual report consists of the following sections:

1. Executive Summary
2. Institutional Profile
3. Activities, Focus Areas and Outcomes
4. Project Status and Budget
5. Technology

Internal Evaluation

Internal evaluations are required by the USDOE. North Carolina Central University will also conduct external evaluations for its Title III grants. The *Education Department General Administrative Regulations* state that “recipients shall monitor the performance of grant and sub-grant supported activities. They shall review each program, function, or activity to assure that adequate progress is being made towards achieving the goals of the grant or sub-grant.” Internal evaluation will be carried out through bi-annual monitoring reports, annual performance reports, Title III meetings, quarterly budget reviews and site visits. External evaluations may be completed annually. External evaluators will determine progress in achieving the objectives in the approved application, the effectiveness of the project in meeting the purposes of the program, and the effect of projects on the persons and priorities being served by the projects.

Monthly Budget Reports of Expenditures and Encumbrances

In an effort to assure that Activity Coordinators are monitoring their spending level throughout the grant year, the Title III Office will require each Activity Coordinator to submit a budget report citing expenditures, pending orders and encumbrances and status of payment of invoices. The reports are due at the end of each month from October to September of each fiscal year. The report will focus on:

1. Budget tracking system
2. Expenditure recording/encumbrances
3. Spending level/burn rates
4. Status of unexpended funds

Note: The Title III Office will reconcile with the Office of Sponsored Research and Programs quarterly.

Annual Site Visits

In an effort to keep Activity Coordinators on target with proposed objectives and timelines, the Title III Office will conduct semester visits to discuss activity progress. These visits will be conducted on site, and will focus on evidences of completion, appropriateness of proposed timelines, and adequateness of documentation, as well determine if equipment purchased with Title III funds has been labeled properly and is in place.

External Evaluation

To ensure that grants are performing in an acceptable manner, an independent external evaluator conducts an external evaluation, annually. The evaluator conducts a summative evaluation (end of grant year) at the culmination of the grant year. Evaluators look at all aspects of grant activities, including a comparison of actual accomplishments to the goals established for the period, documentation, and project expenditures, as well as effect of the project on strengthening the University. At the end of the grant period (5 years), the University may secure an evaluator to conduct a 5-year summary of the Comprehensive Development Plan's goals and objectives.

APPENDICES

APPENDIX I – ALLOWABILITY OF SPECIFIC ITEMS OF COST

	Item of Cost	2 CFR 200	Remarks
437	Employee health and welfare costs	A	Losses on food services under A-21 are allowable if provided on a break-even basis.
438	Entertainment costs	U	Don't even think about it.
439	Equipment and other capital expenditures	AAP	Capital expenditures for general-purpose equipment, buildings and land requires advance written permission. Special-purpose equipment costing less than \$5,000 is allowable and items \$5,000 or more require advance approval. Capital improvements that increase value are unallowable unless permission is obtained. Equipment and other capital expenses are generally unallowable as indirect costs.
440	Exchange rates	AR	Prior approval is required only when the change results in the need for additional Federal funding.
441	Fines, penalties, damages and other settlements	U	In specified narrow situations, a grantmaking agency may allow these costs, but only with written advanced permission.
442	Fundraising and investment management costs	U	There are exceptions for certain investments and pension situations.
443	Gains and losses on depreciable assets	AR	
444	General costs of government	U	
445	Goods and services for personal use	U	Costs of housing (e.g., depreciation, maintenance, utilities, furnishings, rent), housing allowances and personal living expenses are only allowable if approved in advance by a Federal awarding agency.
446	Idle facilities and idle capacity	U\AR	These costs for idle facilities are generally unallowable. Cost for idle capacity is allowable with restrictions.
447	Insurance and indemnification	A\AR	Required insurance pursuant to the award is allowable. Other insurance is allowable with restrictions.
448	Intellectual property	A\AR	
449	Interest	U\AR	Interest on borrowed capital is unallowable. Interest on a fully depreciated asset is unallowable. Interest on certain debt to replace or acquire capital assets after Sept. 29, 1995 and used in support of federal programs is allowable with restrictions. The restrictions are complicated and should be reviewed in their entirety.
450	Lobbying	U\AR	Lobbying to influence legislation and legislative outcomes is unallowable. However, there are special exceptions to otherwise unallowable lobbying costs. Technical and factual presentations directly related to a grant are allowable. Lobbying costs to reduce program costs or remove barriers to performing under a grant are allowable. Activities authorized by law to be undertaken with grant funds are allowable. There are strict documentation requirements for allowable costs.
451	Losses on other awards or contracts	U	
452	Maintenance and repair costs	A	If costs substantially increase value and otherwise allowable they must be treated as capital costs (see #18 above).
453	Materials and supplies costs, including costs of computing devices.	A	If used in connection with grant.
454	Memberships, subscriptions and professional activity costs	A\U	Memberships in business, technical and professional organizations are allowable, as are related periodicals. Membership dues for civic and community organizations require advance written approval. Dues for country clubs and social clubs are unallowable.
455	Organization costs	U	Unless advance approval is given by funding source.
456	Participant support costs	AAP	With prior approval.
457	Plant and security costs	A	Must be reasonable and necessary.

458	Pre-award costs	AR	Allowable to the extent that they would be allowable if incurred after the date of the award and only with the written approval of the Federal awarding agency.
459	Professional service costs	AR	Costs must be necessary, reasonable and directly related to project activities.
460	Proposal costs	U	Unallowable under the Title III Program.
461	Publication and printing costs	A	If identified with an approved program.
462	Rearrangement and reconversion costs	A\AAP	Ordinary situations are allowable. Special situations require advance approval from funding source.
463	Re-conversion costs	A\AR	
464	Recruiting costs	AR	Color and large ads are unallowable. Ads to raid talent from elsewhere are unallowable. Relocation costs must be refunded to federal awards where such costs were charged and the employee left voluntarily within 12 months of being hired.
465	Rental costs of buildings and equipment	AR	Generally allowable if reasonable and necessary. Special restrictions on "sale and lease-back" transactions, "less-than-arms-length" transactions, and rentals treated as capital leases.
466	Scholarships and student aid costs	AAP\AR	Allowable with advance approval if related to grant-sponsored training. Scholarships are otherwise allowable if beneficiary is conducting activities associated with grant or agreement.

The chart above is based on an analysis of the revised circular. Source: The Grantsmanship Center Magazine, Issue No. 53

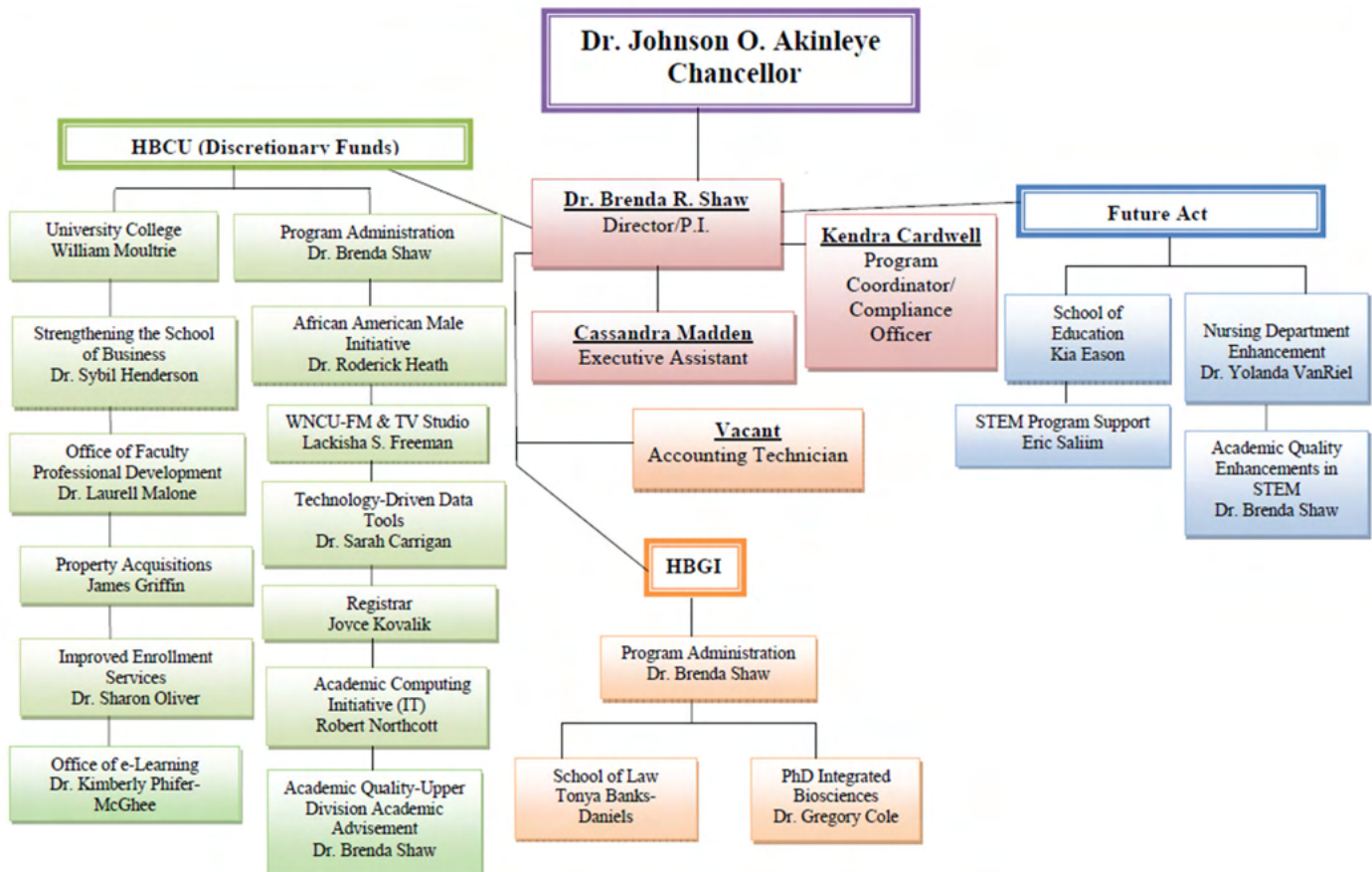
*	Supported by Title III Program.
A	Indicates that the item is fully allowable.
AR	Indicates that the item of cost is allowable, but that certain restrictions or limitation apply.
AAP	Indicates that the item of cost is allowable with advance approval.
U	Indicates that the item of cost is unallowable and cannot be charged to a grant.
X	Indicates that the item of cost does not appear in the circular.

The "Remarks" section contains special information and describes notable exceptions as to whether a cost is allowable or unallowable.

APPENDIX II – ORGANIZATIONAL CHART

North Carolina Central University

Title III Programs Organizational Chart 2021-2022



APPENDIX III – GUIDELINES FOR PREPARING ANNUAL TITLE III PROPOSALS

The federal fiscal year runs from October 1st to September 30th.

Proposal Narrative

Annual Proposals should have the following information:

1. **Introduction.** (1) Describe the mission/purpose of the Activity. (2) State what the Focus Area(s) and LAA Category(ies) covered by the Activity are. (Refer to "Focus Areas" and "Legislative Allowable Activity Categories" for HBCU, HBGI or SAFRA projects.) (3) Describe the goals of the Activity. (4) Include a short (1-2 paragraphs) Abstract of the Activity.

A. Mission/Purpose Statement

A mission statement articulates the purpose of your Title III Activity. It should state what the Activity does and what it intends to achieve. It should state the relationship the Activity has to the institution as a whole. A well-written mission/purpose statement should lead to the identification of the goals and outcomes/objectives that will guide the future efforts of the Activity.

An academic program mission/purpose statement should identify what the Activity will help students and others learn and do within a particular context and state how the program contributes to the institution at large.

An administrative mission/purpose statement should focus on the reason the Activity exists within the institutional department or unit, the people it serves, and the value its work brings to the institution.

B. Goals

A goal is a broad statement of what the Activity intends to ultimately accomplish. The statement should not change over the course of the Title III budget cycle (Title III-Five years). It should arise out of a well-written mission/purpose statement. The Activity may have more than one goal. ASK, "What do I hope to have accomplished at the end of the five years."

C. Abstract

A well-rounded Abstract should provide succinct answers to the following questions: What do you intend to do? Why is the work important? What has already been done? How are you going to do the work?

2. Major Accomplishments for the Current Year.

3. Impact Statement. Describe how the Activity has impacted your area/unit and the University. Be specific, providing adequate details.
4. Implementation Strategy. Describe plans for implementing the Activity objectives, including discrete tasks, primary participants, methods of accomplishing the tasks, tangible results, and timeframe (from/to).
5. Evaluation Strategy. Explain how you will evaluate your activities (tasks) to assess the level of achievement and areas needing enhancement, improvement, or deletion. Be sure to include benchmark data when developing your evaluation strategy.

Proposal Budgets

Proposal Budgets must coincide with **funded objectives**.

1. Budget Narrative Form. Review the total automatically entered when Section B below is complete. Section B amounts should automatically roll to Section A. You must complete Section B of the budget forms first. You **must** use the form you have been provided in order for the formulas to work properly.
2. Budget Narrative (Section B). Describe, in detail, all anticipated expenditures. Be specific.

A. Personnel

- a. Position Titles. List all positions included in your Activity by the approved classification titles only. Employee names, if the position is filled, should be listed parenthetically. An estimated percentage of total institutional effort toward Title III activities should be listed by each position. Working titles may be listed parenthetically but approved classification titles are required.
- b. Uncompensated Personnel Who Work on Title III Activities. Please list all University employees who are not paid by Title III funds but who work to further the objectives of your Activity. No dollars should be included but an estimated percentage of total institutional effort toward Title III should be listed by each name.
- c. Employee Salaries (EPA-611100, SPA-612100, Dual Employment-73900G, Student Wages-614500, Work-Aid-614550, SPA Temp-614100). List only the approved salary for all vacant positions or Title III-funded employees. Do not list old salaries or inflated salaries. Please verify with HR or EPA Services what the current and accurate salaries are as of March 31, 2009, if you are not sure.
- d. Overtime (EPA-611200 and SPA-612200) *and* Shift Premium Payments (EPA-611320 and SPA-612320). Overtime and shift premium payments must be budgeted in advance of the need. Overtime is approved in rare circumstances. Shift premiums are only paid to employees who work other than 1st shift (8 a.m.-5 p.m.). If you anticipate needing to pay Title III-funded personnel overtime and/or shift premiums, please allocate sufficient funding in your proposal to cover the overtime requirements.

- e. Longevity Pay (612700). Longevity is payable after 10 years (120 months) of state service for SPA employees only. It is paid at the percentages below based on the salary at the time the longevity is payable. For those receiving longevity pay in the previous budget period, it will be payable based on the current salary effective July 1st of each year. Please allocate sufficient funding in your proposal to cover the longevity pay requirements for the budget period.

STATE PERSONNEL MANUAL

Salary Administration

Section 4, Page 53

August 1, 1995

Longevity Pay

Policy	<p>Longevity pay is to recognize long-term service. An eligible employee who has at least ten (10) years of total State service shall receive a lump sum payment annually as outlined below.</p> <p>Payment shall be made during the same monthly pay period or by the second biweekly pay period following the date the employee is eligible to receive longevity pay. This includes employees on workers' compensation leave.</p>		
Covered Employees	Type of Appointment	Is Employee Eligible?	
		Yes	No
	Full-time		
	Permanent, probationary	x	
	Trainee, time-limited permanent	x	
	Part-time (20 hours or more) Permanent, probationary Trainee, time-limited permanent	x	
	Temporary, intermittent		x

Amount of Longevity Pay	Annual longevity pay amounts are based on the length of total State service and a percentage of the employee’s annual rate of base pay on the date of eligibility. Longevity pay amounts are computed by multiplying the employee’s base pay rate by the appropriate percentage from the following table: (Note: Salary increases effective on the longevity eligibility date shall be incorporated in the base pay before computing longevity.	
	Years of Total State Service	Longevity Pay Rate
	10 but less than 15 years	1.50 percent
	15 but less than 20 years	2.25 percent
	20 but less than 25 years	3.25 percent
	25 or more years	4.50percent

B. Fringe Benefits

1. Fringe Benefits Rates change annually. Please note that the rates for 2021-2022 have not been given to us yet, so these guidelines might change.

Social Security (618100)	7.65%
State Retirement (618200)	21.68%
Optional Retirement (618700)	13.61%
Medical Insurance (618300)	\$6,389/ FT Employee

2. Fringe Benefits Attendant to Overtime and Shift Premium Payments. Please allocate funds for the extra Social Security (7.65%) and State Retirement attendant to overtime and/or shift premium payments.
3. Travel (73100G). Projected travel must detail what the travel is for, when it is to be taken, the destination, mode of transportation, hotel costs plus taxes, meals, and the number of people traveling per trip, etc.
4. Equipment (75000G). Please list all equipment descriptions for equipment purchases equal to or in excess of \$1,000.00.
5. Supplies (72600G) and Other Supplies (72900G). Please list all supply purchases, including equipment costing up to \$1,000.00.

6. Contractual. Please list all printing (73400G), maintenance agreements (74000G), personal services contracts (73900G), institutional memberships (74000G), subscriptions (74000G), communications (i.e., telephone (73200G), copier (74000G)), repairs (73500G), advertising (73700G), honoraria (73900G).
7. Construction/Renovation (78400G). Please list in detail construction and renovation projects. Separate design costs from construction costs.
8. Other. This category should be used rarely, generally when the expenditure is not covered by the above categories that have been set by the US. Department of Education (i.e., Books (75600G)). Please detail what the expenditures are. Funds that are allocated to this line item without specific descriptions will not be funded.

Program Income

Activity Coordinators are responsible for knowing the requirements for using and reporting program income based on the sponsoring agency's guidelines. Determining whether a project or activity will generate program income depends on self-disclosure by the Activity Coordinators at the time of the proposal's submission. Please submit the Proposal Review Transmittal Form, indicating whether program income is anticipated, how much is anticipated, and how it is to be used.

Program income is gross income received that is directly generated by the grant-funded project or earned as a result of an award during the grant period. If authorized by sponsoring agency regulations or the grant agreement, costs incidental to the generation of program income may be deducted from gross income to determine program income. Program income includes, but is not limited to, income from:

1. fees for services performed,
2. the use or rental of real or personal property acquired with grant funds,
3. the sale of commodities or items fabricated under a grant agreement,
4. payments of principal and interest on loans made with grant funds, and
5. license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under an award. For example, unless specified otherwise in the sponsoring agency regulations or the terms and conditions of the grant award, the Federal Government does not have an interest in program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under an award.

Except as otherwise provided in the awarding agency regulations or terms and conditions of the award, program income does not include the following:

1. interest on grant funds,
2. rebates,
3. credits,
4. discounts,
5. refunds, etc.
6. interest earned on any of them,

7. proceeds from the sale of equipment or real property, or donor contributions and gifts.

Common types of program income are fees from conferences and the sale of pamphlets or conference materials. Other examples include income from fees for services performed such as laboratory tests; fees from participants attending conferences or symposia; income generated from the use, sale or rental of equipment purchased or fabricated with project funds; proceeds from the sale of excess supplies or equipment purchased or fabricated with project funds; sale of software, tapes or publications; income from the sale of research materials such as animal models; sales or products with an accompanying material transfer agreement.

Activity Objectives and Performance Indicators

A. Objectives.

1. An outcome or objective is a statement of intention, describing a point to be reached by a certain date.
2. Well-written outcome or objective statements are SMART - specific, measurable and verifiable, agreed upon, realistic, and time-bound.
3. For Title III Activities, outcomes or objectives are for a single budget period (October 1st - September 30th).
4. Only funded objectives should be listed. If no funding is connected to the objective, then it should not be included in the Proposal.
5. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution. Therefore, each objective should include in parenthesis the number of the University strategic goal to which it is related.
6. You should limit the number of objectives to no more than four (4).
7. Objectives are not tasks. (Refer to "Writing Measurable Objectives for APR Reporting" and "Writing Measurable Objectives" for more guidance.)

For Activities with an Academic focus. . .What are the student learning outcomes or objectives?

Student Learning Outcome (SLO)/Program Learning Outcome (PLO) or Student Learning Objectives/Program Learning Objectives for Academic Programs (Used interchangeably) are specific statements that articulate the knowledge, skills, values, and abilities students should gain or improve through engagement in the academic (degree) program or learning experience.

For Activities with an institutional management or fiscal stability focus... What are program outcomes or objectives?

Program Outcome/Program Objectives (Used interchangeably) for administrative departments or units describe the desired quality of key services.

Good outcome/objective statements lead directly to identifying relevant measures for gaging the program's success in producing program completers that display expected characteristics.

- B. Performance Indicators. The performance indicators must clearly state what you anticipate will be in place (and where) as a result of completing the tasks that lead to the accomplishment of each objective. Performance Indicators are data used to demonstrate the implementation of activities. These include products of activities and indicators of services provided.

What should you measure?

- Specific achievement/accomplishment;
- Change in a level of achievement/accomplishment;
- Achievement/accomplishment (or change) compared with other students or institutions.

Please remember! Tasks are not performance indicators.

State . . .

- That which will be changed (i.e., the benchmark);
- The amount of change that is expected;
- Who or what will change;
- When the change will take place;
- How the change will be measured.

- C. Implementation Strategy and Timetable

1. Tasks. Please state the discrete milestones that will lead to the achievement of each objective.
2. Persons Responsible. These are the people who will work to accomplish the objectives. They are the persons who will submit periodic Time and Effort Reports.
3. Methodology. Process measures provide documentation of whether an Activity is being implemented as originally intended. The key question to be answered by a measure is "How will the Activity be assessed and the results reported?" This information should be included in the "Methodology" column of the Implementation Strategy and Timetable proposal form.

Consider the following:

- Types of data to be collected;
- Evaluation groups (control AND comparison groups);
- When various types of data will be collected;
- Methods to be used;
- Instruments that will be developed and/or used and when;
- How the data will be analyzed;
- When reports and outcomes will be available; and
- How the information collected through your Activity evaluation will be used to monitor the progress of your funded Activity?

Quantitative Evaluation = Hard Data

Qualitative Evaluation = Soft Data (i.e., opinions, individual stories, surveys)

D. Tangible Results. A Tangible Result is what the outcome/objective will look like at the end of the reporting period. It is the result of the tasks using the identified performance indicators and methodology to accomplish the outcomes/objectives. (i.e., What score, rating, etc. do you hope to see from this performance indicators, methodology, outcome/objective pair?)

E. Timetable. Please list projected deadlines for accomplishing each task within the budget period (October 1- September 30). Please note that the full 12-month timeframe should not be listed for a given task. Think about tasks being completed by quarters rather than over the full year,

APPENDIX IV – WRITING MEASURABLE OBJECTIVES AND PERFORMANCE MEASURES

<p>1.Name of Applicant Institution:</p>	<p>2. Activity #/Title:</p>
<p>Measurable Objectives</p> <p><i>Example of a Measurable Academic Objective:</i></p> <p>1.0</p> <ul style="list-style-type: none"> ➤ Begin objectives with the intended outcome (i.e. To increase the number of students passing the Senior Exit Examination from 60% to 70% ➤ State by when, (i.e. by September 30, 2019 <p style="text-align: center;">OBJECTIVE</p> <p><i>To increase the number of students passing the Senior Exit Examination from 60% to 70% by September 30, 2019.</i></p> <p><i>Example of a Measurable Administrative</i></p>	<p>Measurable Performance Indicators</p> <p><i>Example of Measurable Performance Indicators:</i></p> <p>1.1</p> <p>Seniors will participate in a minimum of four (4) tutoring/review sessions prior to sitting for the examination.</p> <p>1.2</p> <p>Academic Advisors from the seniors’ major will meet with the students two (2) times in November and February during the academic year to prepare them for the subjects the examination will cover.</p> <p>1.3</p> <p>Three (3) study group sessions will be conducted by major departments to review the subject matter of the assessment.</p>

<p>Objective:</p> <p>1.0</p> <ul style="list-style-type: none"> ➤ Begin objectives with the intended outcome (i.e. To decrease the response to transcript requests from thirty-six (36) hours to twenty-four (24) hours ➤ State by when, (i.e. by September 30, 2019) <p style="text-align: center;">OBJECTIVE</p> <p><i>To decrease the response to transcript requests from thirty-six (36) hours to twenty-four (24) hours by September 30, 2019.</i></p>	<p>1.1</p> <p>Staff will receive a minimum of two (2) training sessions on the Banner module.</p> <p>1.2</p> <p>At least one (1) staff person will review and respond to transcript requests daily.</p> <p>1.3</p> <p>100% of walk-up requests will be processed within twenty-four (24) hours.</p>
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APPENDIX V – TRAVEL HINTS

Summary of Allowable Cash Advances and Vendor Pre-Payments							
Travel Type	Registration	Airfare	Lodging Hotel	Meals	Baggage (Airline)	Parking Taxi Misc.	Can travel on State Funds
Employee	x	x					
Non-Employee	x	x	x				x
Students	x	x	x	x	x	x	
Chaperone Employee*	x	x	x	x	x		x
Chaperone-Non Employee	x	x	x	x	x		x
Athletics Team Employee	n/a	x	x	x	x	x	
Athletics Team Non-Employee	n/a	x	x	x	x		
Athletics Team Students	x	x	x	x	x		
Advance Paid To:	Vendor Pre-Paid	Vendor Pre- Paid	Vendor Pre-Paid	Employee Cash Advance	Employee Cash Advance	Employee Cash Advance	N/A

- When traveling, the Traveler, or their admin, must submit a Pre-Approval Report via Chrome River.
- Submit a Pre-Trip Expense Report via Chrome River for employee cash advances and/or vendor pre-payments.
- When returning from travel submit a Post-Trip Expense Report for employee expense reimbursements and travel close out.
- If there is no cost involved, complete a No Expense to the University Form to document your travel status.
- For international travel, complete a paper Travel Authorization Form. Attach the international checklist, a copy of your insurance card, and a copy of your passport.
- DO allow at least 15 business days prior to the date of travel to apply for a travel advance.
- DO make travel arrangements early to secure lower prices for lodging, airfare and other transportation costs.

- DO contact the Travel Office if airfare is to be paid upfront – the Traveler must use TravelMax.
- Complete a Business Travel Profile to request access to TravelMax.
- A justification must be submitted (at the pre-approval stage) for Rental vehicles. The Traveler should charge the cost of rental vehicles to the employee's University American Express Card or personal credit card.
- DO NOT BUY car rental insurance as state employees are covered under the State's auto insurance program.
- DO eat meals included with conferences, as per diem meals are not granted for meals included with the hotel or registration.
- For Domestic travel review the NC Office of State Budget and Management (OSBM) Budget Manual, section 5.2.
- For International travel per diem rates visit the US Department of State, Office of Allowances webpage.
- DO NOT CANCEL trips for personal benefit. The Traveler will pay any penalties and charges resulting from trips cancelled for personal benefit.
- KEEP all travel receipts and submit with them with the Post-Trip Expense Report in Chrome River. The exception is that receipts are not required for per diem meal allowances.
- Personal vehicle mileage is reimbursable for the lesser of the distance from workplace to destination, or home to destination – provide Google maps or MapQuest documentation for both.
- DO submit the Post-Trip Expense Report via Chrome River within **30 calendar** days from the return date.
- For international travel, submit the manual Travel Reimbursement Form with foreign currency receipts and a currency conversion sheet. You can utilize <http://www.exchangerate.com> or <http://www.oanda.com> to obtain the exchange rates for the date(s) of travel.
- DO allow 15 business days for the processing of your Travel Reimbursement.
- FYI – Mileage advances are not allowable.

APPENDIX VI – RECORD KEEPING REQUIREMENTS

“Preparation for Audit Readiness”

Records Retention: You must follow the Federal and State records retention requirements for all University documentation.

Please locate, be prepared to produce and to discuss the following items:

- Your Activity's Annual Plan of Operation, including the Spending Plan/Budget, Objectives, Implementation Strategies and Timetables, etc.
- WEAVE Quarterly Reports. All quarterly reports for each funded grant year.
- Annual Performance Reports for each funded grant year.
- An Organizational Chart. The organizational chart should reflect incumbent's name or "Vacant" or "Proposed," approved or proposed classification titles, designations (i.e., EPA or SPA), and position numbers.
- Written Position Descriptions.
- Resumes for all Activity Coordinators and Title III-funded employees.
- Position/Personnel Log. A numbered list of the positions and individuals participating in your Activity for the current grant year. Please have on file each person's resume (for EPA personnel) or State Application (for SPA personnel) and an explanation of how the Title III personnel fit into your program. This includes Graduate Assistants, Tutors, Work-Aid, and other student workers.
- Employment Forms. Copies of all employment forms supporting the establishment of each position, the recruitment and selection process, and the employment of the incumbent. (i.e., Requests to Establish EPA Position, Requests to Establish Temporary EPA Position, EPA Designation Forms, Requests for Classification Review, Requests to Advertise, Ads, Form 6's, Form 6T's, all career banding documents, E-recommends, Dual Employment paperwork, Career Banding forms, Form 50's and Form 40's).
- Time & Effort Reports. Copies of Time & Effort reports for each Semester for each employee who contributes to the grant, whether paid by Title III or another source of funding.

- Institutionalization Plans. Written plans to continue personnel (permanent and temporary) after Title III funds are no longer available.
- Financial Records. Summary of expenditures by Activity fund number and account code, and summary of expenditures by LAA Category.
- Purchasing Records. Requisitions, purchase orders, invoices for all purchases made under the Title III grant, as well as budget transfers, check requests, etc.
- Travel Log and Records. Copies of all travel authorizations, travel reimbursements and receipts, and travel reports. A list of Activity-related travel taken during the grant year. Please include name of traveler, conference/training/seminar, location, date, and significance of attending as it relates to particular objectives in *your* Activity.
- Equipment Log. An inventory of equipment purchased/leased with grant funds should be on file in your office, as well as in the Office of Title III Programs. **Equipment should be labeled, “Paid for using U.S. Department of Education Title III Funds”.**
- Contracts and Agreements. A copy of any contracts between the agency and any other entity, consultants, personnel, maintenance, rental, etc. should be on file in your office, as well as in the Office of Title III Programs.
- Communications. Copies of informational materials, brochures, manuals, etc. produced by the project(s) should be on file in your office, as well as in the Office of Title III Programs. **(Informational materials, brochures, manuals, etc. should be labeled, “Paid for using U.S. Department of Education Title III Funds.”**
- Policies and Procedures. If there are policies and procedures by which your Activity operates, they must be in writing. Please have these written policies and procedures on file in your office, as well as in the Office of Title III Programs.
- Assessment data that will support accomplishment of objectives.
- Evaluation Plans.
- Copies of any agendas and minutes of meetings held by your Activity.

Any additional documentation to support achievement of objectives.