

# CLARK ATLANTA UNIVERSITY

## Title III Programs

*Strengthening Historically  
Black Colleges & Universities  
&  
Strengthening Historically  
Black Graduate Institutions*

## **POLICIES AND PROCEDURES HANDBOOK 2007 – 2012**

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# PREFACE

The Title III Policies and Procedures Handbook is prepared to facilitate the implementation of activities funded by Title III Programs. It is designed to provide specific policies and procedures unique to the Title III HBCU and HBGI Programs, to support the proper monitoring and evaluation of program activities and to ensure the appropriate expenditure of program funds. This Handbook serves as a resource document in carrying out the approved Plan of Operation.

Compliance with the guidelines and regulations included in this Handbook will ensure that the Federal grants are administered in accordance with Title III, Part B of the 1965 Higher Education Act, the U. S. Department of Education General Administrative Regulations (EDGAR), and other Federal directives, and affirms that Clark Atlanta University has the documentation necessary to show compliance.

This Handbook will be updated annually as changes in policies are made by the U. S. Department of Education and/or Clark Atlanta University. This Policies and Procedures Handbook is effective until replaced by an updated version or revised insertions.

# INTRODUCTION

## Purpose

Title III of the Higher Education Act of 1965, as amended, Strengthening Historically Black Colleges and Universities (HBCU) and Strengthening Historically Black Graduate Institutions (HBGI) Programs, authorizes special assistance to strengthen the quality of developing institutions which have the desire and potential to make a substantial contribution to the higher education resources of the nation. Amendments to the Act have altered some elements of the program, but it remains as written - an instrument to provide assistance to institutions demonstrating a constructive effort to strengthen themselves.

Clark Atlanta University has two Title III programs: HBCU and HBGI. Title III has funded project activities designed to help meet various strategic goals of the University.

### **Activities that qualify for Title III HBCU funding are:**

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 classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.
3. Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.
4. Academic instruction in disciplines in which Black Americans are underrepresented.
5. Purchase of library books, periodicals, and other educational materials, including telecommunications program materials.
6. Tutoring, counseling, and student service programs designed to improve academic success.
7. Funds management, 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

11. Establishing community outreach programs which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education.
12. Establishing or improving an endowment fund.

**Activities that qualify for Title III HBGI funding are:**

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 classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and 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 or improve contributions from alumni and the private sector.
6. Assisting in the establishment or maintenance of an institutional endowment fund.
7. Funds and administration management, and the acquisition of equipment, including software, for use in strengthening funds, management and management information systems.

***The full citation for the HBCU and HBGI programs can be found in 34 CFR, Parts 608 and 609.***

## Relationship to University Mission

The University in its mission statement has committed itself to the role of shaping graduates who will not only be productive, creative, socially and economically responsible citizens, but students who will also have met standards of excellence in contemporary higher education.

Clark Atlanta University prepares its students for leadership and service through instructional programs and extracurricular activities that:

- Develop skills in oral and written communication, analytical and critical thinking, and interpersonal relationships;
- Foster an understanding and appreciation of the elements and evolution of various cultures, and the nature of the physical universe;
- Foster understanding and appreciation of the specific knowledge and skills needed for the pursuit of professional careers and /or graduate study; and
- Cultivate the personal attributes of self-confidence, tolerance, morality, ethical behavior, humility, global perspective, and a commitment to social justice.

In carrying out its primary mission of developing students with disciplined minds who will lead lives of leadership, service, and self-realization, CAU is guided by an administration and faculty who promote academic excellence, achievement, and high ideals. The activities requested for support under Title III were developed with the mission, purposes and goals of the University in mind. Each activity is governed by a set of objectives, and each objective is related specifically to one or more of the Institution's long-range goals. In order to ensure its continued success and the implementation of all planned activities, Title III Program Administration will:

- Recommend policies and develop procedures to ensure adherence to Federal regulations that provide a clear audit trail;
- Provide support services to facilitate maximum implementation of funded activities;
- Recommend policies and develop procedures to facilitate Title III proposal development and submission;
- Recommend changes to Activities which will enhance the program in line with expected goals and objectives.

## Using This Handbook

This Policies and Procedures Handbook provides guidance and compliance directives on the implementation of the two Title III Programs: Strengthening Historically Black Colleges and Universities (HBCU) and Strengthening Historically Black Graduate Institutions (HBGI) at Clark Atlanta University (CAU). These programs are designed to help strengthen and advance CAU with the goal of making it the very finest private college and university, and doctoral intensive research university in the world. It contains important information on grant terms and conditions for improving programs and services of the University using support from the Title III HBCU and HBGI Programs.

Administrative procedures for Title III HBCU and HBGI funded activities follow the approved policies and practices of Clark Atlanta University. Please note: Federal Law (**EDGAR\***) requirements and Federal auditing practices (OMB Circulars) may conflict with current University policies and practices. **In all cases**, Federal law will supersede policies and practices of Clark Atlanta University. This Handbook will be updated annually, however, periodic updates may be required to ensure that the University's policies and procedures reflect applicable Federal guidelines and practices.

Clark Atlanta University's Title III Director is responsible for monitoring the completion of all activity objectives, tasks, and evaluation of projects according to the approved Plan of Operation. In addition, the Title III Director is responsible for ensuring compliance with Federal expenditure guidelines. As a Department of Education grantee, CAU is bound by Federal rules and regulations. Continued funding of the Title III Programs requires full compliance with applicable Federal regulations.

In support of our compliance efforts, this Handbook provides assistance to Activity Directors, Coordinators and other key personnel in carrying out the objectives and implementation strategy of the approved Plan of Operation. It is to be used as a guide for ensuring adherence to all guidelines and regulations listed.

As grant requirements change, revisions or additions to this Handbook will be necessary to ensure compliance. All Activity Directors and Coordinators **must** become familiar with the grant requirements included herein, keep up-to-date on all administrative procedures and ensure that policies and procedures are followed carefully. All persons using Title III funds should refer to this Handbook before charging expenditures. Questions concerning Title III matters should be directed to Title III administrative personnel.

\*Department of Education General Administration Regulations: 34 CFR; as of June 23, 2005

## HBCU-Funded Activities and Activity Directors

### 2006 – 2007 Budget

Activity	Activity No.	Director	2006-2007 Budget (D)
Strengthening Student Performance Through (Comprehensive Academic Services)	22201	Dr. Alexa Henderson	\$294,699.62
Enhancing Student Success Through Comprehensive Retention and Advisement Services	22202	Dr. Alexa Henderson	\$174,935.68
Enhancing the University's Instructional Technology Initiative	22203	Mr. Paul Copeland	\$318,990.29
Strengthening Media Studies Through the Establishment of a Digital Tele-production Laboratory	22204	Dr. Cheryl Gooch	\$268,464.00
Program Administration	22206	Ms. Connie Hannah-Willis	\$194,744.00
Enhancing Institutional Effectiveness	22207	Dr. Dorcas Bowles	\$84,447.44
Strengthening Student Performance Through (Peer Mentoring and Academic Orientation)	22208	Dr. Alexa Henderson	\$138,674.00
Strengthening Student Performance Through Comprehensive Academic Services (Undergraduate Assessment Initiatives)	22209	Dr. Alexa Henderson	\$172,743.37
Strengthening Student Performance Through Comprehensive Academic Services (Enhance Instruction and Student Learning)	22210	Dr. Dorcas Bowles	\$552,229.55
Engaging Faculty in Development Activities to Strengthen the Instructional Program	22211	Dr. Janice Liddell	\$161,769.26
Strengthening the Office of Information Technology and Communication and Upgrading Technological Equipment and Services Campus-Wide	22218	Mr. Johann Lawton	\$524,163.46
Sustaining a Conducive Academic Environment Through Facilities Restoration	22219	Mr. Mike Lacour	\$819,402.33
<b>GRAND TOTAL</b>			<b>\$3,705,263.00</b>

**HBGI-Funded Activities and Activity Directors  
2006 – 2007 Budget**

<b>Activity</b>	<b>Activity No.</b>	<b>Director</b>	<b>2006-2007 Budget (D)</b>
Strengthening the University's Infrastructure by Enhancing Instruction and Student Learning	22212	Dr. Dorcas Bowles	\$ 613,086.78
Enhancing Graduate Students Academic and Professional Development	22213	Dr. William Boone	\$ 182,600.00
Strengthening the Office of Information Technology and Communication and Upgrading Technological Equipment and Services Campus-Wide	22214	Mr. Johann Lawton	\$ 524,163.46
Sustaining a Conducive Academic Environment Through Facilities Restoration	22215	Mr. Mike Lacour	\$1,517,031.30
Addressing Paradigm Shifts in Higher Education and Institutional Effectiveness Through Continual Self-Study and Technical Assistance	22216	VP for OPAR	\$ 278,382.46
Program Administration	22217	Ms. Connie Hannah-Willis	\$ 194,744.00
<b>GRAND TOTAL</b>			<b>\$3,310,008.00</b>

# ADMINISTRATIVE STRUCTURE OF THE TITLE III ADMINISTRATIVE OFFICE

## POSITIONS AND TITLES

Overall leadership responsibility for CAU Title III Programs is vested in the position of the Director. Reporting to the Director are the Associate and Assistant Directors who are responsible for the day-to-day management of Title III programs. Additional full-time staff providing administrative assistance and clerical support includes two Senior Staff Assistants. Graduate students are employed in the Title III Administrative Office to assist with a variety of tasks. A brief description of each position is shown below.

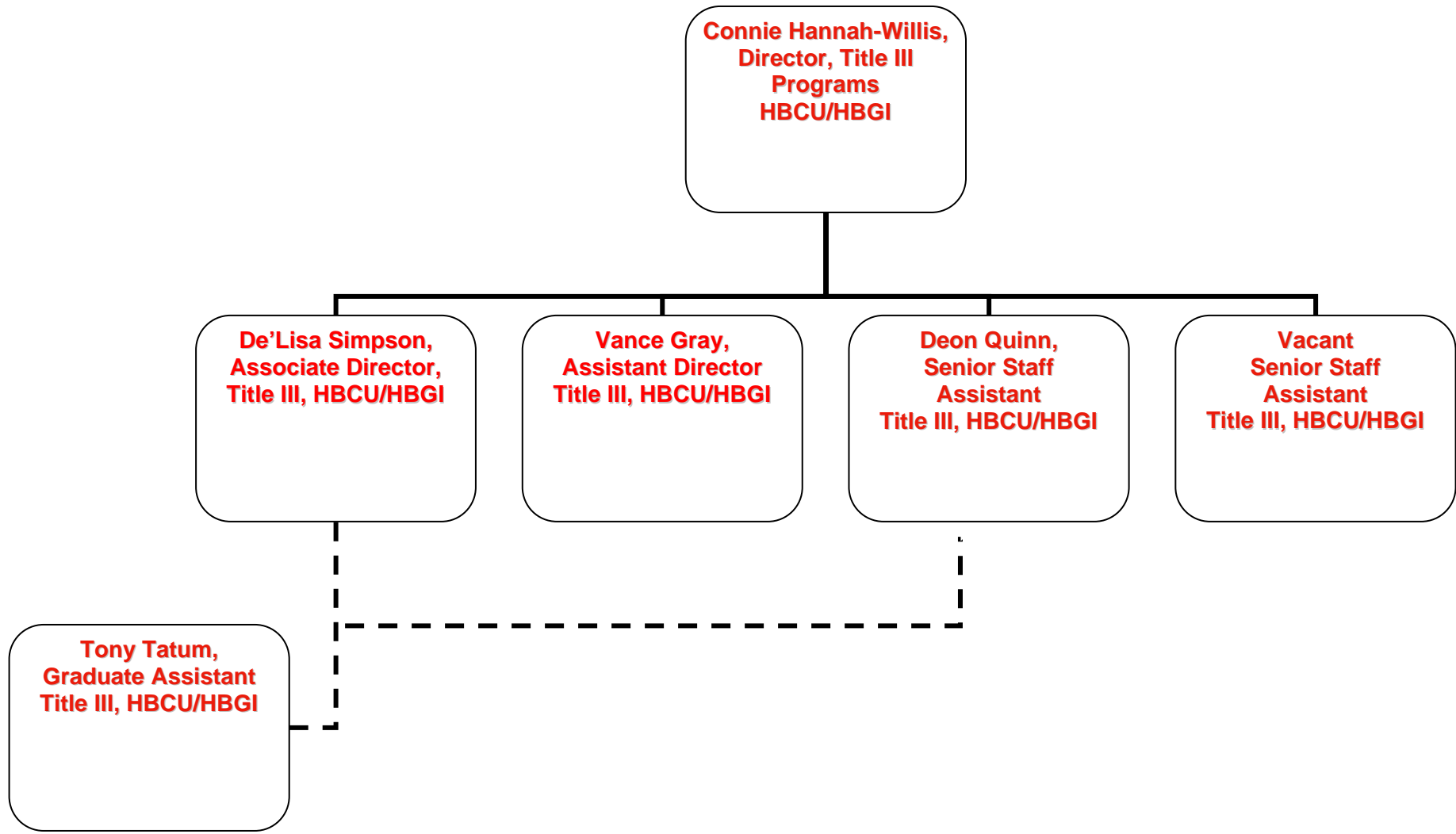
**Director:** The Title III Director is responsible for the overall implementation of the policies and procedures of the program and for ensuring conformance with all applicable Federal and University regulations. The Director ensures that the President's vision and priorities are reflected in all activities approved for funding, and serves as the President's official agent on all Title III matters.

**Associate and Assistant Directors:** The Associate and Assistant Directors of the Title III Program are responsible for providing the daily management of the HBCU and HBGI programs. The Associate and Assistant Directors are charged with ensuring that Activity Directors/Coordinators comply with all applicable policies and procedures, the accomplishment of program objectives, and timely and appropriate expenditure of Title III funds. The Associate and Assistant Directors serve as a liaison for Activity Directors regarding individual Activity budget issues and assist the Director in preparing the institution's annual Title III budget request.

**Senior Staff Assistants:** The Senior Staff Assistant will be responsible for tracking and monitoring all Activity budget requests and expenditures to ensure compliance with applicable Federal and University fiscal policies. The Senior Staff Assistant will collect and analyze financial data; and assist in processing of budget revisions.

**Graduate Assistants:** The Graduate Assistant performs, directs, or advises on work involved in providing or negotiating for a variety of essential management services and/or processes. Any combination of services, similar or closely related activities, may be involved: program management, project management, management analysis, property management, space management, and public information. The central purpose of the Graduate Assistant is to facilitate the accomplishment of the work of the Title III Office through providing, obtaining, and/or coordinating management services and integrating them with the general management of the institution. Typically, Graduate Assistant positions involve a variety of duties and responsibilities and are, therefore, general in nature. However, in some situations the duties and responsibilities may be specialized and limited in number and/or kind.

# Clark Atlanta University Title III Programs Organizational Chart



## ACTIVITY DIRECTORS AND COORDINATORS

Activity Directors are responsible for carrying out the approved program plan of operation contained in the funded Title III Proposal and for achieving the identified objectives in their respective activities. In some instances, Activity Directors may delegate the day-to-day administration of these responsibilities to a staff member under their direct supervision. This individual is the Activity Coordinator. Only Activity Directors and Coordinators may initiate requests for use of funds and their requests must be based upon the approved budget. Each Activity Coordinator must have requests approved by the Activity Director within the existing administrative structure of the University before the requests are submitted to the Title III Administrative Office.

### **Activity Directors/Coordinators have the following responsibilities:**

- Attend on-campus Title III meetings; receive pertinent grant information.
- Prepare complete and accurate reports of Activity progress for submission to the Title III Director's Office (i.e., quarterly activity progress reports; annual performance reports\*; related travel reports; time and effort reports and equipment inventories).
- Monitor and report the timely completion of assigned Activity tasks and milestones.
- Request Title III funds in accordance with approved Activity allocations and University procedures.
- Approve travel requests.
- Prepare, review, and sign Time and Effort reports.
- Develop strategies for the completion of objectives in a timely manner.
- Monitor Activity budgets, and sign-off on **all** approved budget expenditures.
- Provide Title III Administrators with a copy of Personnel Action Forms (PAF) on each person hired and/or terminated, who receives salaries under Title III.
- Perform other duties, which may be necessary to ensure that objectives of the Activity are achieved.

Activity Directors and/or Coordinators will receive a performance evaluation annually based on 1) attendance at meetings; 2) timely submission of reports; 3) efficient expenditure of Title III funds; and 4) meeting program objectives. This evaluation will be used to support future funding allocations under the Title III Program.

(\*Annual Performance Reports that reflect the impact that the Title III activity has had on the entire operational aspect of the University are to be prepared and submitted to the Title III Administration by October 31<sup>st</sup> of each calendar year.)

# OVERVIEW OF ADMINISTRATIVE POLICIES

Clark Atlanta University has established policies and procedures for the effective and efficient administration of Title III Programs and personnel.

**The following administrative policies are applicable:**

- All governing policies and procedures of the University are applicable to Title III personnel and activities.
- No commitments, which require the use of the Title III funds, which are not specifically included in the approved Title III grant plan of operation shall be made. Questions concerning this should be directed to the Title III Office and clarity sought prior to making such commitments.
- All requests involving expenditures from Title III budgets must be forwarded to the Title III Office by the Activity Director to ensure clearance for allowability and availability of funds prior to submission to the Office of Grants and Contracts for final processing and prior to making any commitments. **Requests should be forwarded to the Title III Office in sufficient time (5 working days) to allow for clearance prior to processing. All Title III charges must be made to the appropriate line item.** Funds designated for one line item may not be used for another line item, unless appropriate budget revisions are requested and approvals granted by Title III Administration.
- The University is required to spend Title III funds in a manner consistent with the provisions of the final approved operating plan. If modifications are necessary to the objectives and milestones of a particular activity as the program progresses, then such changes should be reflected in budgetary revisions. Budget revisions must be within Federal guidelines and must have the approval of the Title III Director and the President.
- All requisitions must be forwarded directly to Title III Administrators for clearance prior to final processing by the Office of Grants and Contracts.
- Under no circumstances should a business arrangement be made with an outside vendor without satisfying all administrative requirements.

**Reimbursements will only be made for expenditures that were preapproved prior to purchase. Original receipts must accompany requests for reimbursement through the Title III Office.**

## OPERATIONAL POLICIES AND PROCEDURES

Substantive changes in the scope and/or plan of operation of any Title III Activity must be approved by the Department of Education in writing prior to implementation. Requests for modification of any programmatic objective must be made through the Title III Director. If approved by the President, modifications will be included in our annual report submission to the Department of Education. Only after approval is received from the Department of Education can changes be effected. The Department of Education defines substantive changes to an institution's program as those changes which redirect the objectives and scope of an activity, changes in key personnel, international travel, and continuation of the project for more than three months without the direction of a Project Director.

### Personnel

This category includes all full-time, part-time, and temporary employees who are supported by Title III funds. Hiring procedures will follow University policy. The Title III Director must be consulted to ensure that the hiring of persons for Title III activities is within the framework of the approved Plan of Operation and to ensure that appropriate funds are available to accommodate the action. Title III funds may not be used to supplant the use of University funds in the hiring process.

#### **The following actions must be completed for all persons being paid with Title III funds:**

- A Human Resources Requisition must be initiated for any position that will be funded by Title III. The requisition will be initiated by the Activity Director and routed to the appropriate Vice President, Dean or department head for initial approval. Once approved, these should be routed to the Title III Director for processing. The average processing time is approximately ten (10) working days.
- The Title III Director will coordinate this approval process to determine the sources of funding used for the position.
- The position is required to be posted for a minimum of five (5) working days prior to final hiring decisions.
- The CAU Personnel Action Form (PAF) should be initiated and final approval made by the President, prior to the employment of any individual receiving salary under Title III programs. Personnel funded by Title III should not be hired or terminated without notifying Title III Administration. It is the responsibility of the Activity Directors to ensure these actions are routed through the Title III Administrative Office.

- **It should be noted that the University is not obligated to offer appointed personnel the budgeted salary amount. Salaries are based on equity, expected duties and responsibilities, experience and qualifications needed to perform the assigned duties in a particular position.**
- Individuals hired should clearly understand that they are being supported by Federal funds and that their employment is contingent on the receipt of those funds and the overall success of their Activity. The Activity Director must provide the Title III Administration with the name of the person hired and his/her title and job description within five (5) workdays following date of hire.

## **Fringe Benefits**

Fringe benefits are available to persons supported by Title III funds, as allowed by University policy. Benefits are available to regular employees who work a normal schedule of at least 25 hours per week. Benefits for eligible employees begin exactly 31 days after their initial hire date. Various benefits available for full-time employees include a life insurance plan equivalent to two (2) times the amount of the annual salary and a long- and short-term disability plan. For more information concerning benefits, please contact the Department of Human Resources.

## **PROCUREMENT POLICIES AND PROCEDURES**

All requests for supplies, equipment, services, rentals, subscriptions or any other transactions that involve an expenditure of University and Title III funds require the initiation of a purchase requisition. Requisition for items with an individual cost of \$1,000 or more must be accompanied by three (3) quotes, each quote provided by a different vendor. Requisitions for services in amount exceeding the small purchase threshold (currently fixed at 41 U.S.C. 403 (11) – currently \$25,000) must proceed through the University's Request for Proposal (RFP) process.

When preparing requisitions for processing, one should include on the form the department (Title III and the name of the activity), the budget account number, the subaccount number (*refer to the list of University Budget Codes, a copy of which is reprinted in the back of this handbook*), and the date that the requisition is prepared. When bids or quotes are not required by University policy or this Handbook, the name of a suggested vendor should be indicated on the documents. Solicitation for goods and services must provide all the following:

- A clear and accurate description of the technical requirements for the material product, or service to be procured. In competitive procurements, descriptions shall not contain features, which unduly restrict competition.

- Requirements, which the bidder/vendor must fulfill, and all other factors to be used in evaluating bids or proposals.
- A description, whenever practicable, of technical requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards.
- The specific features of a brand name or description that bidders are required to provide when these items are included in the solicitation.

In accordance with the Department of Education General Administrative Regulations (EDGAR), recipients of Federal awards, such as Title III, shall take the following steps:

- Ensure that small businesses, minority-owned firms, and women's business enterprises are used to the fullest extent practicable.
- Make information on forthcoming opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises.
- Consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises.
- Encourage contracting with consortiums of small businesses, minority-owned firms and women's business enterprises when a contract is too large for one of these firms to handle individually.
- Use the service and assistance, as appropriate, of organizations such as the small Business Administration and the Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms and women's business enterprises.
- In all cases, the procurement process must be in conformance with EDGAR, Sections:
  - 74.44 Procurement procedures
  - 74.45 Cost and price analysis
  - 74.46 Procurement records
  - 74.47 Contract administration
  - 74.48 Contract provisions

After one has properly prepared the requisition and attached all relevant documentation, including quotes/bids, signature procedures as established by the University should be followed. Activity Coordinators are required to route all requests for purchases through the Activity Director, or the appropriate senior administrator in that managerial structure. The Title III Office will not process requisitions without appropriate authorizing signatures. An authorized representative of the Office of Information Technology Center must sign off on all computer purchases.

If the expenditures are allowable, reasonable, allocable, and required in the performance of duty, the Title III Director will sign in the space identified as “**Order Approved By.**” The Office of Grants and Contracts will not act on requisitions that do not have the signature of the Title III Director. Upon approval, the Grants and Contracts representative will then forward the requisition to the Purchasing Department for preparation of a purchase order.

Under no circumstances will any Title III representative engage in any formal contact or other commitment with outside vendors without prior approval and adherence to the appropriate process of required requisition documentation.

## Requisition Process

Procedures governing requisition of supplies, equipment, travel and payment for services rendered by University personnel apply equally to staff and faculty in Title III Activities. The standard requisition form of the University must be used.

Purchase requisitions are used to give the Purchasing Department detailed and specific information regarding items to be purchased.

The requesting individual, usually the Activity Coordinator or Director, must adequately describe procurement needs. The requisition should, at a minimum, be typed or legibly written and include the following information:

- **Suggested vendor and address:** All catalog sections should reflect page and item numbers. Enter the vendor’s name, address and telephone number in the spaces provided.
- **School or Department:** Indicate the name of the School, Department, or Title III Activity initiating the request.
- **Date:** Indicate the current date of the requisition.
- **Budget Affected:** Include the affected budget code to be charged. If unsure about sub-account information, please verify with the Title III Accountant Clerk prior to document submission.
- **Quantity:** Indicate the amount/quantity needed for each item.
- **Descriptions:** Clearly state the description of supplies, materials or equipment, and service specifications.
- **Unit Price:** Indicate the per unit (each) price/cost of the requested items. If more than one unit is being ordered, also complete the price extension column. These columns must be completed before submission to the Title III Administrative Office.
- **Extension:** Determine the extended cost (quantity time’s price) of the item(s) requested.
- **Ordered by:** The signature of the person requesting the order should be entered in the

space provided. The signature of the Activity Director or senior administrator must be reflected on the document in order for the Title III Administrators to continue processing the request. This signature should be included above the order approved by signature line.

- **Approved:** The signature of the Grants and Contracts representative is provided in this space.
- **Purchasing Agent Approval:** The signature of the Purchasing Agent shall be entered in this space.
- **Order Approved By:** Normally the Title III Activity Director will sign in this space. The signature of a senior administrator (i.e., Vice President) may also be on this line; however, the Title III Director must sign all requisitions.

Once the Activity Director/Coordinator decides to initiate a request, it is provided to the appropriate senior administrator for approval. The Activity Director should maintain a copy of the request for record purposes.

The senior administrator or Activity Director will review the request to determine whether it represents a duplicate purchase, whether it is allowable under the conditions of the approved Plan of Operation and whether funds are available to cover the transaction. If it is determined that the request cannot be approved, it is returned to the originator with an explanation. After the appropriate senior administrator or Activity Director approves the request, it is forwarded to the Title III Office for processing and for signature by the Director. A copy of the approved requisition will be maintained in the Activity file in the Title III Office. The request is then provided to the Office of Grants and Contracts for final approval.

Once the order has been completed by the Purchasing Department and forwarded to the designated vendor, a copy of the requisition and purchase order will be forwarded to the Title III Director for verification of ordered merchandise. Invoices will be forwarded to accounts payable for payment.

## Equipment

Purchases of equipment shall adhere to the following guidelines and governing directives.

The recipient shall use the equipment in the Activity for which it was acquired as long as needed, whether or not the Activity continues to be supported by Title III funding. When no longer needed for the original intent, the Activity Director or Coordinator will notify the Title III Administrators for appropriate disposition of the equipment.

During the time that the equipment is used in the Activity for which it was acquired, the Activity Director shall make it available for use on other projects or programs if other use will not interfere with the work on the program for which the equipment was originally acquired. First preference for other use shall be given to other projects sponsored by the Department of Education; second preference shall be given to projects or programs sponsored by other Federal-awarding agencies.

Attached to requisitions (for the purchase of equipment) must be evidence that the user has attempted to locate the least expensive supplier of that equipment item. University policy defines equipment as an item costing \$1,000 or more with a useful life of at least one year. Equipment that is made by two or more manufacturers and costs in excess of \$999.00 requires three official bids from prospective vendors.

## **Sole Source Procurement**

Sole Source Procurement occurs when only one vendor is known to supply a particular item requested for purchase. This method of purchasing involves no competition and should be avoided as much as possible. If used, the sole source procurement should be justified and well documented. Evidence of such documentation should be retained for record-keeping purposes.

Final responsibility in determining whether an item is a proprietary item and should be purchased from a sole source is determined by the Purchasing Department.

## **Emergency Purchases**

Purchases made under emergency conditions must be limited to those goods and/or services required to meet the emergency condition. Such emergencies are defined as:

***“A condition, which creates a threat to the health, welfare or safety of staff and/or students. Situations, which endanger lives, property, or the continuation of vital programs.”***

An equipment inventory form must be completed and provided to Title III Administrators for all equipment purchases. The purchase of equipment with Title III funds may be permissible only after receiving approval from the Title III Director.

## **Equipment Management Requirements (EDGAR 74.34/80.32)**

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

- Property records shall be maintained accurately. Retention and access requirements for these records are explained in Subpart D of the Department of Education General Administrative Regulations (EDGAR). For each item of equipment, the records shall include:
  - A description of the equipment, including the manufacturer’s model number, if any;
  - An identification number;
  - Identification of the grant under which the recipient acquired the equipment;
  - The information needed to calculate the Federal share of the equipment;
  - Acquisition date and unit acquisition cost;
  - 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

A physical inventory of equipment shall be taken annually and the results reconciled with the property records to ascertain 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 cause of the differences.

- A control system (including identifying marks) shall be in effect to ensure adequate safeguards to prevent loss, damage, or theft of the equipment. Any loss, damage, or theft of equipment shall be investigated and fully documented.
- Adequate maintenance procedures shall be implemented to keep the equipment in good condition.
- Where equipment is to be sold, the Federal Government has a right to part or all of the proceeds. Under no circumstances should equipment procured with Title III funds be sold without the written permission of the Title III Director.

**Equipment is approved for use in the achievement of goals of each Activity and should be moved only if the Activity is being moved to different quarters at the University, or the equipment is required for use in another department attached to the University. Title III Administration must be notified prior to the relocation of any equipment or furniture items.**

## Supplies

“**Supplies**” means all tangible personal property other than equipment.

- Grantees should purchase supplies from Title III funds only in amounts reasonably expected to be required for the performance of the grant Activity.
- Supplies should be procured on a timely basis to reflect use of the supplies during the period of grant support.
- Although there is no requirement for accountability for supplies similar to that for equipment, the Activity Director/Coordinator is expected to maintain those records necessary to support the purchase-receipts and proper charge of supplies in accordance with good management practice.

## Contracts

Cost associated with subgrants and payments to cooperating institutions or agencies is defined as contract costs. Payments to individual consultants are not included under this classification.

## Miscellaneous Expenses

- Direct costs for items, which are not covered in any of the previously mentioned classifications, are included here.

*Examples are communications, transportation (freight, parcel post, etc.), space, equipment rental, computer use charges, and consultant fees and expenses.*

- Each approved fiscal year budget forwarded from the Title III Office to individual Activity Directors will contain a budget control number for each line item subsumed under each classification if it is a part of the specific activity.

## Expenses Not Covered

Title III Administrators will establish procedures for handling expenses not covered in any of the areas previously discussed on a case-by-case basis.

## PROGRAM ACCOUNTABILITY

### AND

## EVALUATION

- **Coordination:** Each project shall be developed so as to be in coordination, to the extent feasible, with other programs at the University with similar educational purposes. Such coordination shall continue during the period in which such project remains in effect.
- **Evaluation:** Each project shall include procedures for effective evaluation of the extent to which project objectives are being met.
- **Site Visit:** Site visits will be made by representatives of the Department of Education to: (a) review program accomplishment and management control systems, and (b) provide such technical assistance as may be required.
- **Monitoring by Recipients:** Recipients shall constantly monitor the performance under Federally supported Activities to assure that adequate progress is being made toward achieving the goals of the Activity. This review shall be made for each function or Activity as set forth in the approved grant application or contract document.
- **Records Related to Grant Funds:** A grantee shall keep records that fully show: (a) the amount of funds under the grant; (b) how the grantee uses the funds; (c) the total cost of the project; (d) the share of the cost provided from other sources.

- **Records Related to Compliance:** A grantee shall keep records to show its compliance with program requirements.
- **Records Related to Performance:** A grantee shall keep records to identify significant project experiences and results and use the records to (a) determine progress in accomplishing project objectives; and (b) revise those objectives, if necessary.
- **Records Retention Period:** Unless a longer period is required under 34 CFR part 74, a grantee shall retain records for five (5) years after the completion of the Activity for which it uses grant funds.
- **Unexpended Funds:** In the event that the amounts previously awarded have not been obligated pursuant to the approved project and in the judgment of the Secretary, will not be obligated for such purposes, the Secretary may upon notice to the recipient, reduce the amount of the grant or contract to an amount consistent with the recipient's needs pursuant to regulations regarding termination and suspension for cause.
- **Termination and Suspension for Cause:** Assistance under any Federal program to which this part is applicable may be terminated in whole or part if the Secretary determines, after affording the recipient reasonable notice and an opportunity to be heard, that the recipient has failed to carry out its approved project proposal in accordance with the applicable law and the terms of such assistance, or has otherwise failed to comply with the law, regulations, assurance, term or condition of the grant or contract.

## TRANSFER OF FUNDS

Due in part to a provision cited in 34CFR [74.25] of EDGAR, the transfer of funds from one activity to another during a grant year is permitted with the approval of the Title III Director and the President.

### Budget Transfers

All budget transfer requests:

- Must be to carry out activities that are within the approved scope of the application
- Must meet the test of reasoning: reasonable, allocable, and allowable
- Must meet other Federal statutes, regulations, and grant conditions

The Title III Director cannot process requests for payment of activity expenses unless all required documentation is submitted. The various forms required to support fiscal monitoring of the Title III grants are detailed in this Handbook. The person making the request may obtain additional copies of these forms. A copy of all documentation associated with the fiscal management of Title III funds shall be retained in the Activity Director's/Coordinator's files.

## Budget Process

Each Activity Director/Coordinator will be provided with an annual line item budget and periodic budget status reports. Status reports should be carefully reviewed against the records and documentation maintained by the Activity and any discrepancies noted should be shared with the Title III Director. Efforts to resolve these with the Office of Grants and Contracts will be coordinated by the Title III Staff.

**Periodic budget analysis should also be conducted by the Activity Directors/Coordinators to ensure that Title III funds are being spent in a timely and efficient manner. The exception is that annual funds will be utilized in a manner which ensures that the objectives of the Activity are accomplished. Any deviations or discrepancies should be explained in Quarterly Activity Reports.**

Activity budgets must be tied to the approved program Plan of Operation and consistent with the intent of the Department of Education in carrying out the objectives of Title III Programs.

## Budget Revisions

The procedures for requesting budgetary revisions are the same as those for the regular programs of the University with some modifications.

- The Request for the Budget Revision form may be obtained from the Office of Grants and Contracts or Title III Administration.
- The form must be returned to the Title III Office signed by persons making the request.
- When the review and approval form is completed by the Title III Director, the Request for Budget Revision form will be forwarded to the Office of Grants and Contracts.

**Activity Directors/Coordinators are expected to carefully monitor their program objectives and related expenditures to ensure that milestones are being completed in a timely manner and that expenditures are commensurate with accomplishments.**

## DEPARTMENT OF EDUCATION

## REPORTING REQUIREMENTS

The Department of Education requires the University to maintain records that show the amount of funds awarded under each grant; how the spending of funds relates to the overall effectiveness of the institution; how the grant funds were used; the total scope of the project and other records to aid in facilitating an effective audit. The University must keep records that demonstrate compliance with program requirements and records that show significant project expenses and results. These records must be retained for five years after the final financial reports are submitted for the Activity for which the funds were granted.

### **Applications for Continued Funding Under Title III**

Proposed activities, which are approved by University officials for continued funding under Title III, must submit an application during the Spring Semester of the year currently funded, which provides the following information:

- **An Activity Narrative:** The activity narrative for continuing activities will be composed of the parts that are described in the following paragraphs.
- **A Preliminary Annual Performance Report:** An Annual Performance Report for Activities will be submitted each year during the month of October and will reflect accomplishments from October 1<sup>st</sup> of the previous calendar year to September 30<sup>th</sup> of the current year. A preliminary Annual Performance Report should be provided at the time the application for continued funding is submitted. This report should describe the activities' accomplishments to date based on the objectives included in the approved budget. If applicable, a description of any modification to the current plan of operation should be included.
- **Activity Objectives for the Next Budget Period:** Objectives for the next year should be included and must be described in clear, concise measurable terms. These objectives must include the attainment measurement in quantitative terms.
- **An Evaluation Plan:** The evaluation plan must provide a detailed assessment of the implementation strategies and quantifiable evidence of the attainment of the objectives for each Activity for each grant year.
- **An Activity Budget:** All budgeted items are to be reflected in the format provided by the Department of Education, including major items such as Personnel, Fringe Benefits, Travel, Equipment, Contractual Services, Student Wages and others that allow the Activity to function as efficiently as intended.

### **Time and Effort Reporting Requirements**

The Department of Education requires the University to document and maintain Time and Effort Certifications on all Federally supported employees. Internal procedures have been developed to ensure adherence to this requirement.

- Each Title III-funded employee is required to complete a Time and Effort Certification form indicating his/her activities during the month. The certification form must be verified and signed by the employee and the Activity Director. Completed Time and Effort Certification forms must be submitted to the Title III Office on the fifth day of the following month. The Title III Office will sign and forward Time and Effort Certifications to the Office of Grants and Contracts Accounting.
- Copies of completed Time and Effort Certification Forms are to be maintained in the Activity files, Title III Administrative Office, and the Office of Grants and Contracts Accounting.

## Maintenance of Records

Title III Office, Office of Grants and Contract Accounting, and Activity Directors will maintain records of budgetary expenditures for Title III Activities.

This record keeping will provide up-to-date information relative to the availability of funds and will serve as a cross-reference in the event of contradiction of budget balances maintained in other offices associated with the accounting aspects of the programs.

The Title III Office will provide monthly budget reports to Activity Directors. Activity Directors are expected to maintain records of the actual time spent on activities by personnel in each specific Activity. It is important for the University to document each Title III employee's time and effort in order to meet internal and external audit requirements.

**NOTE:** Activity Directors/Coordinators will be held accountable to ensure that personnel funded through Title III comply with this requirement. Failure to comply may result in the suspension of future Title III funding.

## Reports of Progress in Achieving Title III Objectives

Both internal and external evaluations are management tools used to keep the program focused on annual objectives. EDGAR states that recipients shall monitor the performance of grant-supported activities and report progress according to program requirements. The evaluation should review programmatic progress to assure that positive efforts are being made toward achieving the goals of the grant.

Internal audit evaluations will be carried out through quarterly monitoring reports, annual progress reports semiannual Title III workshops. External evaluation is recommended annually. External evaluation will determine progress in achieving the objectives in its approved application, the effectiveness of the project in meeting the purposes of the program, and the effect of projects on the persons directly impacted by the projects.

**Quarterly Progress Reports:** In order to provide systematic documentation of the achievement of objectives for each of the grant Activities, each Activity Director will complete a Quarterly Progress Report. The report is to be placed on the forms provided by the Title III Office. Copies of the forms are included in this Handbook. Quarterly Progress Reports are due according to the schedule below:

Report 1	(October 1 <sup>st</sup> - December 31 <sup>st</sup> )	-----	January 15 <sup>th</sup>
Report 2	(January 1 <sup>st</sup> - March 31 <sup>st</sup> )	-----	April 15 <sup>th</sup>
Report 3	(April 1 <sup>st</sup> - June 30 <sup>th</sup> )	-----	July 15 <sup>th</sup>
Report 4	(July 1 <sup>st</sup> - September 30 <sup>th</sup> )	-----	October 15 <sup>th</sup>

**FAILURE TO SUBMIT QUARTERLY REPORTS BY THE NOTED DUE DATES MAY**

## **RESULT IN AN ACTIVITY BECOMING INELIGIBLE FOR CONTINUED TITLE III FUNDING.**

**Annual Performance Report:** In addition to the Quarterly Report, each Activity Director will submit an Annual Performance Report. This report, due no later than October 31<sup>st</sup> of each year, must provide the necessary information and data to compile the U.S. Department of Education's Annual Performance Report. Specifically, this report should include:

- An Introductory Statement regarding the Activity as it relates to the University at large.
- Completion of relevant process and outcome measures.
- A narrative summary of the status of Activity objectives. In describing the status of activity objectives, consider the institutional impact of the Activity. In this section view the overall impact of the activity to the institution:
  - Describe the positive impacts the grant activities are having on other areas of the University.
  - Describe any cooperative activities with other units and staff of the University (non-Title III) and/or with other Title III Activities, and indicate their impact on the institution. Include the expertise of nongrant personnel devoted to the project and the activity's institutionalization plan.

### **External Evaluation**

An independent external evaluator at the discretion of the University President will evaluate the Title III grant, as well as the individual Title III Activities. The evaluator will conduct both a formative and a summative evaluation. Evaluators will look at all aspects of grant activities including a comparison of actual accomplishments to the goals established for the period, documentation of activity progress in meeting measurable objectives, allowability of project expenditures, and the effect of the project in strengthening the overall operation of the University.

## **TRAVEL POLICIES AND PROCEDURES**

### **General Policies**

Federal direction requires specific documentation of all travel funded by the Title III Programs. Two forms, "Request for Travel with Title III Funds" and "Title III Travel Report Form" are to be used, along with other supporting information, to provide the necessary documentation concerning travel as described in the approved budget. There are Federally published limits governing meals and incidentals allowed for in certain cities within the United States. Registration costs and Conference fees are allowable expenses.

The Travel Report Form must be attached to the expense claim (normally, the travel requisition used to initiate travel) covering the expenses related to the travel. Necessary and reasonable expenses for lodging and meals will be allowable and paid in accordance with existing University policy.

### The traveler has two options:

- Submit a purchase requisition form with supporting documents to have registration costs, conference fees, and prepaid hotel accommodations. A confirmation for conference registration, hotel reservations, and airline ticket requests must be attached to Purchase Requisition.
- If approved by the Title III Director prior to travel, submit all receipts to the Title III Office and a full reimbursement will be provided after travel.

### Allowable Reimbursable Expenses

Airline tickets, ground transportation, car rental, parking, hotel, meals (per diem/ per day in some instances), registration costs, conference fees, conference materials, telephone calls, mileage (.445 cent per mile) are allowable expenses, and must be submitted with supporting receipts and the approved documentation in order to receive reimbursement.

### Specific Travel Policies and Procedures

1. Persons whose travel is supported by Title III funds must complete a *Request for Travel with Title III Funds Form*. Attach pertinent information/details regarding travel to justify the expenditure of funds and have travel itineraries approved prior to the actual travel.
2. Within five (5) days after return from travel, travelers must submit original travel expense receipts and the *Title III Travel Report Form* to the Title III Office. Reimbursable original receipts must be documented.
3. Automobile travel will be reimbursed at the rate of \$0.445 cent per mile, when submitted on the proper form for reimbursement. \*(**Note:** Subject to University policy at the time of submission).
4. Automobile rental is only allowable for travel to official destinations when it is clearly more cost-effective.
5. Prior approval is required for all travel.
6. Prepayment checks are allowed only for transportation, hotel and registration costs.

7. When a traveler purchases his or her own airline ticket, reimbursement will occur after travel.
8. ***Failure to submit original expense receipts and the Title III Travel Report form will adversely affect consideration for future travel using Title III funding.***
9. While the Title III Office will process authorized travel requests as expeditiously as possible, such requests must be submitted at least fifteen (15) working days in advance of the travel.

## **STUDENT EMPLOYMENT**

Student Employment under Title III-funded Activities is an appropriate and beneficial use of resources. It is expected that student work assignments will be directly linked to an approved Title III Activity and that these assignments will be value-added experiences for the students. Activity Directors/Coordinators are also expected to budget and closely monitor the expenditure of student wages. This should include ensuring that funds are available and adhere to all Department of Education and University regulations regarding student employment.

The Title III student employment process requires coordination with 1) Title III Administrative Office, 2) Office of Human Resources, 3) Office of Grants and Contracts and 4) Payroll. The decision to employ a particular student worker under Title III Programs rests solely with the Activity Director/Coordinator and the Title III Director. The following conditions apply to all Title III student workers:

- Student workers normally work during regular University operating hours unless otherwise approved.
- **STUDENT WORKERS WILL NOT BE PAID FOR WORKING ON OFFICIAL UNIVERSITY HOLIDAYS. IN NO CASE SHOULD A STUDENT BE PAID FOR HOURS NOT ACTUALLY WORKED.**
- Student work assignments should be tied to the specific funded Activity or the day-to-day operation of the unit directly supporting the Activity.
- During the fall and spring semesters, students may work up to twenty (20) hours a week, however, some graduate student workers, because of the level of service they provide, may work up to 30 hours a week. Such cases should be documented and approved by the Title III Director in advance. During the summer term, students may work up to 30 hours per week.
- Students must be enrolled as full-time students during the Fall and Spring semesters and enrolled for at least 3 credits hours during the Summer term or the full-time

equivalent for graduate students. During the Summer term, students must execute a compliance form asserting that they are or will be enrolled in the Summer and return in the Fall.

- **Students may not under any circumstances work in more than one Title III-funded position.**

## EMPLOYMENT OF NONCITIZEN STUDENT WORKERS

**NOTE:** Federal regulations provide some limitations on the employment of non-U.S. citizens. Refer all questions regarding a noncitizen student's eligibility to work to the Title III Office.

**Student workers who are noncitizens may be employed using Title III funds under the following conditions:**

- Enrolled full-time in a degree-granting program at the University.
- Provide visa documentation of their eligibility to work in this country.
- Abide by any other regulations mandated by the University's Office of Human Resources.

### Processing Student Employment Requests

Procedures must be carried out prior to hiring student employees funded through Title III Programs:

Job descriptions are to be developed and posted in the respective Activity's area. Notice of job opportunities should also be displayed in areas frequented by students; all students may apply for these positions. A current job description for each position must be submitted to the Title III Office and kept on file in the Activity Director's/Coordinator's office.

1. Information on available student employment opportunities must be sent to the Title III Office. This information will be included in the Activity's file and will assist the Title III Office in responding to inquiries regarding employment opportunities.
2. An approved Title III Student Wages Payment Form must be effected **prior** to a student's working under Title III Programs. Failure to obtain appropriate prior approval may result in a student's wages being withheld, delayed, or denied.
3. The Title III Student Wages Payment Form must be completed in its entirety. Once approved, this form will be forwarded to Human Resources and Grants and Contracts for processing. A signed copy will be provided to the Activity Director. If the student has never been on the University payroll before, the student must complete a Temporary Hire Packet and submit copies of appropriate identification. This packet is available in the Office of Human Resources.

In order for student wage requests to be processed in a timely manner, the supervisor must ensure that all of the following are completed:

- Title III Student Wages Payment Form with Student Wages Payment Chart Coversheet

- Clark Atlanta University Temporary Acknowledge Form\*
- Clark Atlanta University Equal Employment Opportunity Information Request\*
- Clark Atlanta University Personal Data and Emergency Contact Change Form \*
- Form W-4 (2003)\*
- State of Georgia Employees Withholding Allowance Certificate\*
- Work Visa Documentation for noncitizens\*
- Form I-9 (U.S. Department of Justice)\*
- Picture ID with a copy of Social Security Card\*

\*These forms can be obtained from the Human Resources Department

## Time Sheets

In order for a student to receive payment through Title III Programs once he/she has been approved for employment, a completed time sheet must be submitted to the Title III Office with the student's signature and the supervisor's signature. The Activity Director or Coordinator must sign this form. Each Activity must also submit a Title III Coversheet for each group of timesheets submitted. A copy of this form is included in the appendix of this handbook. A schedule of pay for student workers will be provided to each Activity at the beginning of the academic year. Timesheets are due in the Title III Office in accordance with printed Title III Schedule. Failure to submit time sheets by the due date may result in a delay in a student being paid. Each Title III Funded Activity may impose on their student workers an earlier due date for timesheets in order to process and review such timesheets prior to submission to the Title III Office.

# CONSULTANT SERVICES

## Procedures

Consultants may be engaged to assist in Activities only as described in the Activity budget and with prior approval from the Title III Director. Consultants are normally used either as workshop presenters or as experts who provide advice and/or service. Information regarding the need for a consultant must be provided on the Approval/Request for Consultant Services Form. Any payment in excess of \$150 per day plus expenses must be justified in writing. After the Approval/Request for Consultant Form has been signed by the Title III Director and approved by the President or his/her designee, a Consultant Statement of Work Form shall be signed by the Consultant and submitted to the Activity Director for payment.

If the service provided was advice, the scope of this should be carefully documented with a written report from the consultant indicating his/her findings and attached to the Consultant Statement of Work Form. When a consultant is engaged to provide on-campus training (workshops, seminars, etc.), documentation of this effort in the form of a program outline and evaluation of the program by participants must be attached to the Consultant Statement of Work Form.

Payment will be made only after documentation of services has been received and approved by the Activity Director and Title III Director. Travel-related expenses can be paid to a consultant upon request from the Activity Director with appropriate documentation, but these costs must be included on the Approved/Request for Consultant form. When budgets contain approval for contracted services with an organization (this approval appears in the contract line item of the Activity budgets), negotiation of the contract must be channeled through the Title III Director's office to ensure compliance with federal regulations covering such service. Specifically, the use of consultants should adhere to the following guidelines:

- The services of consultants and any arrangements associated with their visit will be cleared in advance with the Title III Director to ensure that the purpose of the consultation is in line with the approved plan for the activity and that funds are available.
- *The Approval/Request for Consultant Services form must be completed and signed by both the Activity Director and the consultant prior to the performance of any services. A copy of the form must be submitted to the Title III Office prior to the consultant's visit. This request form must also be submitted for consultants of assisting agencies.*
- All rules and regulations that apply to travel by University personnel also apply to travel by consultants.
- Request for a consultant's check must be accompanied with appropriate documentation (receipts, and/or statement of work performed).
- **Reimbursement for expenses incurred in entertainment or extending hospitality to consultants is prohibited by Federal regulations.**



## APPENDIX

### Frequently Asked Questions

The answers to the following questions are based on provisions contained in the Program Regulations (34CFR 608 and 609).

Q1: Should Time and Effort reports be maintained for personnel paid through Title III-funded programs if institutional policy does not require such reports?

A1: Yes. Time and Effort Reports are required. Grantees are encouraged to review thoroughly the provisions contained in EDGAR, Part 4, Appendix D, J, 7 for a full description of the standards applied in establishing the allowability of costs for compensation for personal services. These standards indicate that a grantee must maintain documentation to support its payroll distribution systems for charges to the grant for personal services.

Q2: Are costs for entertainment and/or speakers allowable under the Title III HBCU program?

A2: Entertainment costs are unallowable by EDGAR (34, CFR 74, Appendix D, 12). However, costs for cultural activities (which may also entertain an audience) that are specifically related to strengthening the academic program and/or to assisting students in successfully completing academic requirements are allowable. Appropriate documentation is needed to ensure compliance: e.g., students' evaluations/reactions to cultural exposures tied to course objectives and required for successful completion of course work or programs of study.

Speakers may also be used to strengthen the academic program and student offerings for successful completion of academic requirements.

In any case, documentation of the relationship to the academic program is required. The limitation of supplanting also applies to these allowable activities.

Q3: Can a grantee be allowed to spend funds before the new fiscal year begins (October 1<sup>st</sup>) for an activity that is slated to begin in August of that year.

A3: Yes. Both Part 74 and Part 80 incorporated by reference OMB circulars A-21, A-87, and A-122, govern allowable expenditures under most grant awards, thus giving them the force of law. The relevant circulars allow grantees to expend funds before the effective date of the award only with the prior approval of the awarding agency (so-called "pre-agreement" or "pre-award" costs). Therefore, a grantee may spend money three months prior to the effective date of the continuation award.

Q4: What is the procedure for submitting requests for revisions and transfers of funds under the new legislation?

A4: The new legislation did not change the procedures. The requests should be addressed to the Title III Director. The Title III Director communicates all requests to the Department of Education Program Officers. The grantee must justify the reason(s) for the change and the appropriate budget breakdown associated with it. The request should be submitted at least 30 days prior to the requested effective date.

Q5: Can Title III funds awarded under the Undergraduate HBCU program be used for allowable activities to strengthen a grantee's Graduate Program?

A5: No. Funds awarded under the HBCU Program may not be used to fund allowable activities in the HBGI Program.

Q6: Can students be paid out of Title III/HBCU funds to perform needed project tasks?

A6: There is no specific statutory or regulatory guidance on payment to students to perform project tasks. However, the EDGAR regulations stipulate that costs shall be reasonable and consistent with established institutional policies and practices applicable to the work of the institution generally (34 CFR 74, Appendix D, C, 2). Student employment must be justified and necessary to meet activity objectives, like all proposed costs. Student employment should also be based on appropriate selection criteria and qualifications to carry out project tasks, if requested for Title III approval.

Q7: What budget revision and programmatic changes require prior approval?

A7: The following budget revisions require prior written approval: (1) to transfer amounts budgeted for student support (tuition/stipends/fees): (2) to establish new line items: and (3) if a grant provides support for both construction and nonconstruction work, prior approval is required before any budget transfers between the two types of work can occur.

EDGAR 74.103 requires prior approval for the following programmatic changes: (1) changes to project scope or objectives: (2) changes in key personnel: and (3) to continue the project for more than three (3) months without the direction of a project director.

Q8: What is meant by financial and compliance audit?

A8: When an approved recipient accepts funds under federally assisted programs, the recipient assumes the responsibility for carrying out the programs efficiently, economically, and effectively as well as assuming responsibility for auditing financial operations.

The financial and compliance audits are those which, at a minimum, examine the recipient's systems of internal control, which ensures compliance with laws and regulations affecting the expenditure of funds, financial transactions and accounts, and financial statements and reports of the recipient's organization.

The U.S. General Accounting office has published a booklet titled, *Guidelines for Financial and Compliance Audits of the Federally Assisted Programs*. This booklet may be obtained from the Superintendent of Documents, U.S. Government Printing office. The Department of Education does not stock this document for distribution.



**FREQUENTLY USED FORMS**

**Clark Atlanta University**  
**Title III Time and Effort Report**

**Employee's Name:**  
**Position:**  
**Activity Title:**  
**Department:**

**Report Period:**  
**CAU Identification Number:**  
**Fund Number:**

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday

Total Hours Worked: 0  
Total Leave:

CODES: SICK ANNUAL COMPENSATORY HOLIDAY COLLEGE MILITARY JURY  
BUSINESS TITLE III  
1 2 3 4 5 6 7

Objective(s) completion and/or implementation progress during this reporting period includes:

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# Clark Atlanta University

## Title III Time and Effort Report

Percentage of time & effort: \_\_\_\_\_

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Associate/Assistant Director Title III

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title III Director Signature

\_\_\_\_\_  
Date

I, the Supervisor, certify that I have carefully reviewed this report and evaluated my employee's time during this month. In my best judgment, this report as noted does properly reflect the distribution of his/her time for the prior and current months of activity. I, the employee, also certify that I have reviewed the above percentage of my time and effort which was devoted to the Institution and/or Title III Activity. Any misrepresentations of this effort may subject person(s) to Federal penalties.

# CLARK ATLANTA UNIVERSITY

## TITLE III ADMINISTRATION Quarterly Activity Report Form

Activity Title: \_\_\_\_\_

Name of Activity Director: \_\_\_\_\_

Names of Project Staff and Position: \_\_\_\_\_

Current Period Covered: \_\_\_\_\_

**I**      **Accomplishments** (Use as much space as is needed.)

*Objective 1.0*

*Objective 2.0*

*Objective 3.0*

*Objective 4.0*

**II. Projected Accomplishments: (Use as much space as needed.)**

*Accomplishments Projected for This Quarter, but Unattained*

*Accomplishments Projected for Next Quarter*

**III. Problems Encountered in the Implementation of the Program (Use as much space as needed.)**

**IV. Please Summarize the Results of Participant Evaluations and Other Evaluation of the Activity (as appropriate) (Use as much space as needed)**

**V. Please attach copies of Programs, Brochures, Handbooks, or Other Documentation of the Project (list documents submitted)**

**CLARK ATLANTA UNIVERSITY**  
**REQUEST FOR TRAVEL WITH TITLE III FUNDS**  
*( To be Completed and Approved **BEFORE** travel occurs)*

Grant Year \_\_\_\_\_ Date \_\_\_\_\_

Title III Activity \_\_\_\_\_ Budget No. \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Name of Convention/Conference/Meeting \_\_\_\_\_

Location \_\_\_\_\_

Dates of Convention/Conference/Meeting \_\_\_\_\_

Purpose for Attendance (i.e., Presentation/Participation, etc.) \_\_\_\_\_

Focus of Meeting \_\_\_\_\_

How will attendance at meeting help accomplish Title III Objective? \_\_\_\_\_

Total Anticipated Cost \$ \_\_\_\_\_ Amount Requesting from Title III \$ \_\_\_\_\_

Requested By: \_\_\_\_\_  
*Signature* \_\_\_\_\_ *Date* \_\_\_\_\_

Requested By: \_\_\_\_\_  
*Activity Director/Dean* \_\_\_\_\_ *Date* \_\_\_\_\_

<b>Title III Administration Use Only</b>	
<b>Title III Director (Signature)</b>	<b>Date</b>

<i>Funding Approved by Title III</i>



**CLARK ATLANTA UNIVERSITY**  
**REQUEST FOR TRAVEL WITH TITLE III FUNDS**  
*(Must be completed AFTER travel by Traveler)*

This form must be completed and returned to the Title III Office within five working days after traveler returns from a conference/workshop.

**Name of Participant:** \_\_\_\_\_

**Title of Workshop/Conference:** \_\_\_\_\_

**Dates of Workshop/Conference:** \_\_\_\_\_

**Location of Workshop/Conference:** \_\_\_\_\_

**Major topics addressed:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Benefits you attained by attending:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

***(Please attach additional pages if needed)***

\_\_\_\_\_  
*Participant's (Signature)*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Activity Director*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Title III Director*

\_\_\_\_\_  
*Date*

# Clark Atlanta University

## STUDENT STIPEND PAYMENT FORM FOR TITLE III

IF A STUDENT WORKING AND/OR PARTICIPATING IN MULTIPLE STUDENT PAYMENT (COLLEGE WORK STUDY AND/OR STIPEND), A SEPARATE AND DIFFERENT STUDENT PAYMENT FORM MUST BE COMPLETED FOR EACH PROGRAM/ASSIGNMENT.

### Personal Information

\*New Assignment (Requires New Packet to be Completed)  Continuing

CAU ID # \_\_\_\_\_ Last Name \_\_\_\_\_ First Name \_\_\_\_\_

Date of Birth \_\_\_\_\_ Race:  Black/African  White  Hispanic  Asian  Other

Gender \_\_\_\_\_ Male \_\_\_\_\_ Female

Marital Status: Single Married US Citizen:  Yes  No If no, please indicate country\* \_\_\_\_\_

\*Documentation of authorization to work must be attached

Local Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

E-mail Address \_\_\_\_\_ Telephone Number ( ) \_\_\_\_\_

### STUDENT DATA

Classification: \_\_\_\_\_ Major: \_\_\_\_\_

Please indicate whether you are receiving other funds this academic year. Institutional Federal Stipend

Student Signature \_\_\_\_\_ Date \_\_\_\_\_

### TO BE COMPLETED BY AUTHORIZING OFFICE:

Total Amount Awarded \$ \_\_\_\_\_ Amount Per Pay Period \$ \_\_\_\_\_ Begin Date \_\_\_\_\_ End Date \_\_\_\_\_

Department \_\_\_\_\_ / Title III Index # \_\_\_\_\_ Fund # \_\_\_\_\_ Organization # \_\_\_\_\_

Account # \_\_\_\_\_ Program # \_\_\_\_\_ Activity Code # \_\_\_\_\_ Location Code# \_\_\_\_\_ Percentage \_\_\_\_\_

Authorizing Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_ Extension Number \_\_\_\_\_

Activity Director Signature \_\_\_\_\_ Date \_\_\_\_\_ Extension Number \_\_\_\_\_

Financial Authorization \_\_\_\_\_ Budget \_\_\_\_\_  
Title III Director Office of Grants and Contracts

Verified submission of completed forms validate and sign: I-9 Form Federal Tax Forms State Tax

E-Class # \_\_\_\_\_ Position Number \_\_\_\_\_

HRIS DATA ENTRY \_\_\_\_\_ Date \_\_\_\_\_

# Clark Atlanta University

## Recommendation for Supplemental Pay

The Supplemental Pay Form is used to request additional compensation for employees of the University for work performed in addition to the employee's regular assignment. Supportive/Justification documentation must be noted in Section II or attached. Approval must be obtained from the employee's immediate supervisor/manager. **This form does not replace the PAF and should only be used to make supplemental pay payments (Nine month employees working during the summer must have a PAF completed).**

**SECTION I EMPLOYEE INFORMATION**

CAU Identification Number	Last Name	First Name	MI	Position		
Regular Hourly/Monthly Salary \$	Organization Code	Home Department Name	Home Department Index	Fund#	Account	

Area Supervisor/Manager Notified

**SECTION II SUPPLEMENTAL ASSIGNMENT JUSTIFICATION**

Briefly/Specifically describe the assignment (s) and the rationale for the requirement of additional support beyond the normal staffing.

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Additional space is required and supportive documentation attached.

**SECTION III COURSE INFORMATION**

Course #	Title of Course	Section	Current Enrollment	Credit Semester Hours

**SECTION IV ADDITIONAL COMPENSATION INFORMATION**

Start Date	End Date	# Of Hours Worked	Total Amount	\$			
<i>(If hourly, a timesheet must be attached.)</i>							
Index	Fund	Org	Acct. Code	Program Code	Actv. Code	Amount	%
<b>TOTAL</b>							

**Approvals**

<b>Budget Approval</b>	<b>Date</b>	<b>Grants &amp; Contract Approval</b>	<b>Date</b>
<i>Benefit deductions/contributions including contributions to the University TIAA-CREF Plans are not deducted from supplemental pay earnings.</i>			

**APPROVALS:**

Grant Director*	DATE	Chair/Director*	DATE
PROVOST*(as needed)	DATE	School Dean/Unit Head*	DATE
VP Finance and Administration	DATE	Director of Human Resources	DATE



# CLARK ATLANTA UNIVERSITY

## Personnel Action Form (PAF)

**The Personnel Action Form is to be used to authorize and obtain approval of an employee transaction.  
Please complete ONLY the sections affecting the status change.**

### SECTION (A) TYPE OF TRANSACTION

New Hire \* \_\_\_\_\_ Rehire \_\_\_\_\_ Leave of Absence \_\_\_\_\_ Return from Leave of Absence \_\_\_\_\_ Promotion \_\_\_\_\_  
 Demotion \_\_\_\_\_ Salary Adjustment \_\_\_\_\_ Transfer \_\_\_\_\_ Reclassification \_\_\_\_\_ \*Requisition # \_\_\_\_\_

### SECTION (B) IDENTIFICATION INFORMATION

CAU Identification #:	Date of Birth:	Last Name:	First Name:	MI		
Address:		City:	State	Zip Code	County	Home Telephone
Job Title			Department			
Ethnic Background: _____ Black/African American _____ White _____ Hispanic _____ Asian _____ Other (Specify) _____						
Handicapped: _____ Yes _____ No If yes, please specify. _____						
Name of Project (No Abbreviations please)		Reports to	Manager's/Supervisor's Extension Number			

### SECTION (C) CONDITION OF EMPLOYMENT

_____ Initial Appointment _____ Reappointment _____ Separation _____ Replacement for _____ _____ Other (Specify) _____ (Name of Employee) (Example: Endowed Chairs, Special Grants, etc.)	_____ Full-time _____ Part-Time _____ Regular _____ Temporary _____ Consultant _____ Adjunct _____ Course Overload
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### SECTION (D) SALARY AND BUDGET FUNDING SOURCE

Proposed Start Date \_\_\_\_\_ End Date \_\_\_\_\_ Initial Date of Hire \_\_\_\_\_  
 Recommended Salary \$ \_\_\_\_\_ Approved Salary \$ \_\_\_\_\_ If Biweekly, Hourly rate \$ \_\_\_\_\_ Other Pay (Explain) \_\_\_\_\_

**Salary Payment Schedule:**

_____ F/T 12 months – Salary paid over 12 months	_____ Summer
_____ F/T 9 months – Salary paid over 12 months	_____ Biweekly
_____ F/T 9 months – Salary paid over 9 months	_____ Other (_____) months, Salary Paid over (_____) months
_____ F/T 10 months – Salary paid over 10 months	

INDEX	FUND	ORG	ACCOUNT CODE	PROGRAM CODE	ACTIVITY CODE	MONTHLY AMOUNT	%
<b>TOTAL</b>							

<b>Budget Official Signature</b>	<b>Date</b>	<b>Grants and Contract Official Signature</b>	<b>Date</b>
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### SECTION (E) OCCUPATIONAL CATEGORY

_____ 01-Executive./Admin/Managerial	_____ 05-Technical/Paraprofessional	_____ 09-Other (Specify)
_____ 02-Faculty	_____ 06-Skilled Craft	
_____ 03-Professional/Nonfaculty	_____ 07-Service/Maintenance	_____ <i>Exempt</i>
_____ 04- Secretarial/Clerical	_____ 08-Teaching/Research/Graduate Assistant	_____ <i>Nonexempt</i>

**\*Signature required before forwarding to the Human Resources Department**

Grant Director*	DATE	Chair/Director*	DATE
PROVOST*(as needed)	DATE	School Dean/Unit Head*	DATE
VP Finance and Administration	DATE	Director of Human Resources	DATE

# Clark Atlanta University

## STUDENT WAGES PAYMENT FORM FOR TITLE III

NO STUDENT MAY SIMULTANEOUSLY WORK IN MORE THAN ONE TITLE III FUNDED POSITION. A STUDENT WAGE PAYMENT CHART (COVERSHEET) MUST ACCOMPANY THIS FORM. IF THE BEGIN AND END DATES COVER THE SUMMER TERM, THEN A "COMPLIANCE CERTIFICATION FOR STUDENT SUMMER EMPLOYMENT" MUST ACCOMPANY THIS FORM. THE END PAY DATE SHOULD BE APPROXIMATELY 4 WEEKS BEYOND THE END WORK DATE.

### Personal Information

CAU ID # \_\_\_\_\_ Last Name \_\_\_\_\_ First Name \_\_\_\_\_

Date of Birth \_\_\_\_\_ Race:  Black/African  White  Hispanic  Asian  Other

Gender  Male  Female

Marital Status:  Single  Married US Citizen:  Yes  No If no, please indicate Country \_\_\_\_\_

Local Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

E-mail Address \_\_\_\_\_ Telephone Number ( ) \_\_\_\_\_

### STUDENT DATA

Classification: \_\_\_\_\_ Major: \_\_\_\_\_

Please indicate whether you are receiving other funds this academic year.  Institutional  Federal  Stipend

Student Signature \_\_\_\_\_ Date \_\_\_\_\_

### TO BE COMPLETED BY AUTHORIZING OFFICE:

Hourly Rate \$ \_\_\_\_\_ Begin Date \_\_\_\_\_ End Work Date \_\_\_\_\_ End Pay Date \_\_\_\_\_

Department \_\_\_\_\_ Title III Index # \_\_\_\_\_ Fund # \_\_\_\_\_ Organization # \_\_\_\_\_

Account # \_\_\_\_\_ Program # \_\_\_\_\_ Activity Code # \_\_\_\_\_ Location Code # \_\_\_\_\_

Percentage \_\_\_\_\_

Authorizing Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_ Extension Number \_\_\_\_\_

Activity Director Signature \_\_\_\_\_ Date \_\_\_\_\_ Extension Number \_\_\_\_\_

### **FOR TITLE III, GRANTS & CONTRACTS AND HUMAN RESOURCES USE ONLY:**

Financial Authorization \_\_\_\_\_ Budget \_\_\_\_\_  
Title III Director Office of Grants and Contracts

Verified submission of completed forms - validate and sign:  I-9 Form  Federal Tax Forms  State Tax

E-Class # \_\_\_\_\_ Position Number \_\_\_\_\_

HRIS DATA ENTRY \_\_\_\_\_ DATE \_\_\_\_\_

# Clark Atlanta University

## Title III Program (Student Application)



Position applying for \_\_\_\_\_

*(A Resume must be submitted with this Application.)*

### GENERAL INFORMATION

Name \_\_\_\_\_  
*Last First Middle*

CAU Identification Number \_\_\_\_\_ Date of Birth \_\_\_\_\_  
*Month/Date/Year*

Present Address \_\_\_\_\_

Permanent Address \_\_\_\_\_

Telephone Number (Present) \_\_\_\_\_ G.P.A. \_\_\_\_ . \_\_\_\_

### EXTRACURRICULAR ACTIVITIES:

#### Memberships:

Social Organizations: \_\_\_\_\_

Professional Organizations: \_\_\_\_\_

### REFERENCES:

Please list two (2) references in the following categories: Instructor and Employer

(1) \_\_\_\_\_

(2) \_\_\_\_\_

Please describe briefly any skills, abilities, and/or experiences that will demonstrate your ability to effectively perform the job for which you are applying.

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Signature: \_\_\_\_\_

Date: \_\_\_\_\_

*Clark Atlanta University*  
*Title III Administration*  
*Student Timesheet*

Name \_\_\_\_\_ Department \_\_\_\_\_

CAU ID Number \_\_\_\_\_ Pay Period \_\_\_\_\_

Rate of Pay \$ \_\_\_\_\_ Maximum Weekly Approved Hours of Work \_\_\_\_\_

Index \_\_\_\_\_ Fund \_\_\_\_\_ Org \_\_\_\_\_ Prog \_\_\_\_\_ Acct \_\_\_\_\_ Actv \_\_\_\_\_

Date	Days	In	Out	In	Out	Description of Work Performed	Total Hours
	Monday						
	Tuesday						
	Wednesday						
	Thursday						
	Friday						
	Saturday						
	Sunday						

Total Hours \_\_\_\_\_

Date	Days	In	Out	In	Out	Description of Work Performed	Total Hours
	Monday						
	Tuesday						
	Wednesday						
	Thursday						
	Friday						
	Saturday						
	Sunday						

Total Hours \_\_\_\_\_

Employee Certification \_\_\_\_\_ Supervisor Signature \_\_\_\_\_

Activity Director Approval \_\_\_\_\_

Title III Director Approval \_\_\_\_\_

## Title III Student Wage Payment Chart

Budget Period: \_\_\_\_\_ to \_\_\_\_\_

Activity Director/Coordinator: \_\_\_\_\_

Title III Index/Account #: \_\_\_\_\_

Balance on Approved Student Wage Amount (Line Item 6240): \_\_\_\_\_\*

Today's Date: \_\_\_\_\_

Name of Student	Hourly Wage	# of Hours Worked per Week	# of Weeks Which Student Will Work	Total \$ Amount for Student
GRAND TOTAL*				

**\*Your Grand Total may equal but not exceed your balance on your total approved student wage amount, unless you submit a Budget Revision along with this Student Wage Chart.**

## Title III Student Timesheet Chart

Budget Period: \_\_\_\_\_ to \_\_\_\_\_

Activity Director/Coordinator: \_\_\_\_\_

Title III Budget #: \_\_\_\_\_

Pay Period \_\_\_\_\_

Today's Date: \_\_\_\_\_

Name of Student	CAU Identification Number	Hourly Wage	Timesheet included (✓)	# of Hours Worked This Pay Period	Total \$ Amount for Student This Pay Period
<b>Total</b>					

Activity Director/Coordinator \_\_\_\_\_  
Signature

Date \_\_\_\_\_

Title III Confirmation of submitted timesheets \_\_\_\_\_  
Signature

Date \_\_\_\_\_

# CLARK ATLANTA UNIVERSITY

## TITLE III PROGRAMS

### EQUIPMENT INVENTORY FORM

Date: \_\_\_\_\_

Activity Director: \_\_\_\_\_

Activity Name: \_\_\_\_\_

Budget Code: \_\_\_\_\_

Condition of Equipment (New/Used:) \_\_\_\_\_

Description Manufacturer	Model #	Serial #	Unit Purchase Price	CAU Tag #	Title III Tag #

**By signing below, I certify that the equipment or furniture items were received and will notify Title III Administrators of any changes in location or use. I also understand that I am responsible for this item and will ensure adequate safeguards to prevent damage and theft.**

Signed: \_\_\_\_\_  
*Recipient of Equipment/Furniture*

Date: \_\_\_\_\_

Received: \_\_\_\_\_  
*Title III Director*

Date: \_\_\_\_\_



**Clark Atlanta University**  
223 James P. Brawley Drive, S.W., Atlanta, GA 30314 (404) 880-8106

**Approval/Request for Consultant Services**

Consultant's Name

\_\_\_\_\_

Consultant's Address

\_\_\_\_\_  
\_\_\_\_\_

Purpose for Consultation/Need for Consultation

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Consultant's Qualifications

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Estimated Cost of Consultation:

- a) Professional Fee \_\_\_\_\_
- b) Travel \_\_\_\_\_
- c) Per Diem \_\_\_\_\_
- d) Miscellaneous \_\_\_\_\_
- e) Total \_\_\_\_\_

Requested by:

\_\_\_\_\_ *Initiating Individual* \_\_\_\_\_ *Date*

Recommended

\_\_\_\_\_ *Dean of the Division* \_\_\_\_\_ *Date*

Title III Approval

\_\_\_\_\_ *Title III Director* \_\_\_\_\_ *Date*

Approved by:

\_\_\_\_\_ *President* \_\_\_\_\_ *Date*



## Clark Atlanta University

223 James P. Brawley Drive, S.W., Atlanta, GA 30314 (404) 880-8106

### Consultant Statement of Work Form

This is to certify that I have worked for the \_\_\_\_\_ Project/Program  
of Clark Atlanta University for a total of \_\_\_\_\_ days from the period beginning  
\_\_\_\_\_ through \_\_\_\_\_ in the city of \_\_\_\_\_  
(date/year) (date/year)

at \_\_\_\_\_  
(location)

Brief description of the work performed:

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I understand and agree that I shall not accept any compensation for this work during a time when I am being compensated by other federal monies.

Name

---

Address

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\_\_\_\_\_ Date \_\_\_\_\_

Signature

### TO BE COMPLETED BY APPROVING PARTY

Account No. \_\_\_\_\_ Approved \_\_\_\_\_

Rate of Pay \_\_\_\_\_ Title \_\_\_\_\_

Amount Due \_\_\_\_\_ Date \_\_\_\_\_

**CAU APPROVED RESTRICTED BUDGET**

**PROJECT TITLE:**

**GRANT NUMBER:**

**BUDGET NUMBER:**

**PI/PD**

Walter D. Broadnax

**Activity Directors:**

**Period of Performance:**

**From:** October 1, 2005

**To:** September 30, 2006

***PERSONNEL SERVICES***

6120 Admin/FT

6131 Faculty Salaries

6132 Faculty/PT

6141 Staff/FT

6142 Staff/PT

6240 Student Work Wages

**TOTAL PERSONNEL SERVICES**

***FRINGE BENEFITS***

6510 FICA

6520 Group Insurance

6530 Retirement

6550 State Unemployment

6560 Faculty/Staff Tuition Waiver

**TOTAL FRINGE BENEFITS**

***OTHER PERSONNEL SERVICES***

7003 External Consultants

7004 Contracted Nonprofessional Services

7010 Professional Services

7014 Maintenance Service Contracts

7021 Bldg & Grounds Service Contracts

7029 Other Professional Services

**TOTAL OTHER PERSONNEL SERVICES**

**TRAVEL**

7031 Travel & Meetings

7040 Faculty/Staff Development

7041 Workshops/Registration Fee

7042 Faculty Development

**TOTAL TRAVEL**

***SUPPLIES***

7110 Office Supplies

7115 Computer Supplies

7121 Maintenance Supplies

7122 Janitorial Supplies

7123 Instructional Supplies

7124 Scientific Supplies

7129 Other Miscellaneous Supplies

**TOTAL SUPPLIES**

**OTHER DIRECT COSTS**

- 7130 Catering & Food Purchase
- 7140 Advertising
- 7150 Books & Periodicals
- 7161 Dues & Subscription
- 7162 Membership Dues
- 7215 *Renovation/Construction Costs*
- 7243 Building Repairs & Maintenance
- 7250 Maintenance Agreements
- 7610 Other Costs
- 7620 Rental & Lease
- 7625 Other Rentals
- 7635 Licenses
- 7705 Telephone
- 7720 *Printing & Duplication*
- 7730 Postage

**TOTAL OTHER DIRECT COSTS**

**EQUIPMENT**

- 7171 Expendable Equipment (<\$999.99)
- 7181 *Computers & Peripherals*
- 7183 Furniture & Fixture/Capital (<\$999.99)
- 7184 Other Capital Equipment (<\$999.99)
- 7195 *Software*

**TOTAL EQUIPMENT**

**STUDENT SUPPORT**

- 7810 Tuition Waiver Graduate
- 7815 Undergraduate Assistance/Waiver
- 7821 Scholarships Undergraduate
- 7822 Fellowships Graduate
- 7832 Stipends – Undergraduate
- 7841 Book scholarship

**TOTAL STUDENT SUPPORT**

**TOTAL BUDGET**

## CAU Budget Codes

Executive Salaries	6110
Administrative Salaries	6120
Faculty Salaries FT	6131
Faculty Salaries PT	6132
Summer Faculty	6133
Faculty Overload	6134
Staff Salaries FT	6141
Staff Salaries PT	6142
Staff Temporary	6150
Adjuncts	6160
Overtime All	6170
Post Differential	6180
Tips	6181
Graduate Teaching Assistant	6210
Federal Work Study	6220
Institutional Work Study	6230
Student Work Wages-Graduate	6240
Student Work Wages-Undergraduate	6241
Stipend-Graduate	6243
Stipend-Undergraduate	6244
Tutors	6250
Temporary Services (Agency)	6261
Social Security Expense	6510
Group Insurance Expense	6520
Retirement Expense	6530
Retirement Annuity Expense	6540
State Unemployment Expense	6550
Faculty/Staff Tuition	6560
Worker's Compensation Expense	6570
Accrued Annual Leave Expense	6580
Employee Meals	6590
Temporary Services (Agency)	7002
Consultants (External)	7003
Gifts and Prizes	7005
Legal Services	7011
Food Service Contracts	7012
Security Services Contracts	7013
Maintenance Service Contracts	7014
Entertainers	7017
Architects & Engineers	7018
Audit Services	7019
Custodial Service and Contracts	7020
Building and Ground Service Contracts	7021
Other Professional Services	7029
Travel and Meetings	7031
Local Travel	7032
Employee Relocation	7033
Workshops/Training/Reg Fees	7041
Faculty Development	7042
Expense Allowance	7050

Office Supplies	7110
Computer Supplies Expense	7115
Uniforms	7116
Maintenance Supplies	7121
Janitorial Supplies	7122
Instructional Supplies	7123
Gas & Oil	7125
Other Misc. Supplies	7129
Scientific Supplies	7124
Catering/Food	7130
Advertising	7140
Books and Periodicals	7150
Dues & Subscriptions	7161
Membership Dues	7162
Expendable Furn & Equip.	7171
Equip. Purchased for Outside Prgms	7179
Computers-Capital	7181
Copiers-Capital	7182
Furniture & Fixtures-Capital	7183
Other Capital Equipment	7184
Vehicles	7190
Software & Licenses	7195
Architectural and Engineering	7211
Demolition	7212
Administrative Expense	7213
Professional Fees	7214
Renovation/Construction Costs	7215
Equipment Repairs & Maintenance	7241
Vehicle Repairs & Maintenance	7242
Building Repairs & Maintenance	7243
Facilities Services (Internal)	7244
Maintenance Agreements	7250
Loss of Disposals	7260
Bank Charges	7270
Bank Service Charges	7271
Investment Fees	7272
Billing Collections	7280
Interest Expense	7290
Penalties & Assessments	7300
Student Liability Insurance	7015
General Insurance	7405
Vehicle Liability Insurance	7410
Student Liability Insurance	7415
Participant Costs	7605
Other Costs	7610
Bad Debt Allowance	7615
Rental & Lease	7620
Other Rental	7625
Freight Charges	7630
Licenses	7635
Orientation	7640
Commencement	7650
Awards & Honors	7655

Animal Care	7660
Special Activities	7665
Deposits Short and Long	7670
Contingencies	7675
Property Tax	7680
Other Taxes	7681
Telephone	7705
Cable	7710
Other Communication Costs	7715
Printing and Duplication	7720
Copying	7725
Postage	7730
Utilities	7790
Interschool Allocations	7795
Tuition Asst./Waiver Graduate	7810
Tuition Asst./Waiver Undergraduate	7815
Scholarships-Undergraduate	7821
Fellowships-Graduate	7822
Institutional Scholar & Fellowship	7823
Stipends-Graduate	7831
Stipends-Undergraduate	7832
Other Supplies	7833
Book Scholarships	7841
Book Support	7842
Room and Board	7851
Room and Board Support	7852
Pell Grant Awards	7860
SEOG Awards	7870
Depreciation Expenses	7900
Subcontracts	7910
AUC Center Costs	7920
Direct Cost-Sponsored Prg-Pre Award	7989
Indirect Costs	7991
Indirect Costs Prior Year	7992
Cost-Share Costs	7993
In-Kind Costs	7997

**CLARK ATLANTA UNIVERSITY  
REQUEST FOR BUDGET REVISION**

TO: \_\_\_\_\_  
 FROM: \_\_\_\_\_  
 DEPARTMENT/PROJECT \_\_\_\_\_

DATE: \_\_\_\_\_  
 BUDGET REVISION NO. \_\_\_\_\_  
 REQUISITION NO. \_\_\_\_\_

1	2	3	4	5	6
Account Number	Account Title	Present Budget	Amount to Decrease	Amount to Increase	Revised Budget

Explain fully the reason(s) for this request in the above budget. Attach extra sheets if necessary.

<p>1 _____            Department Head or Principal Investigator Date</p> <p>2 _____            Vice President, Dean or Area Head Date</p> <p>3 _____            President/Provost (if applicable) Date</p> <p>4 _____            Director, Title III Date</p>	<p>5 _____            Budget Office Date</p> <p>6 _____            Grants and Contracts Date</p> <p>7 _____            Sponsored Program Date</p>
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