I. MISSION OF THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH

The mission of the Office of Sponsored Programs and Research is to maximize the success of the university in winning and executing project and program awards, whether in the form of grants, contracts, or sponsored research.

Grants and contracts from both government and private sources provide essential support for the sustenance and growth of the university. The Office of Sponsored Programs and Research (OSP&R) is the focal point for ensuring that the university is successful in winning a reasonable number of such projects both in the short and long-term, and that it is successful in the administration and execution of those projects once they are awarded. In general, sponsored activities are directly related to the three-fold mission of the institution: research, teaching, and public service.

II. FUNCTIONS AND SERVICES OF THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH

Identification of External Funding Services
- The OSP&R maintains a library of newsletters, publications, and electronic sources on funding opportunities.
- The OSP&R subscribes to a computerized databases including grants.gov, Community of Science (COS), www.cos.com, and the federal register.
- The OSP&R has a reference library and instructional materials related to external funding.

Identify Faculty and Staff Capabilities
- Compile a list of research and scholarly interests for faculty and staff.
- Match interests with potential funding sources.

Faculty and Staff Grantsmanship Skills Development
- Provide workshops on research marketing and sponsor relationships.
- Provide workshops on policies and procedures related to contracts and grants.
- Provide training in proposal planning and writing.
- Provide training in project management.

Dissemination of Funding Information
- Publish and distribute an annual report of proposal submissions, awards and other funding related topics.
- Distribute electronic notices to faculty and staff about opportunities and deadlines.

Liaison with Sponsors
- Discuss upcoming proposals with funding sources.
- Visit with sponsors and invite sponsors to Central State University.
- Review and interpret program priorities, funding levels, and eligible entities.
• Follow up with submitted proposals and attempt to expedite their review.

Proposal Development
• Consult with faculty and staff on proposal drafts.
• Provide technical assistance in completing application forms.
• Develop a proposal preparation guide.
• Maintain an Institutional Fact Sheet (see Appendices).

Budget Preparation
• Ensure that proposal budget adheres to university and sponsor guidelines (see attached spreadsheet in Appendices).
• Review budget justification (see sample budget justification in Appendices).
• Review cost share allocation.
• Review indirect cost allocation.

Proposal Processing and Institutional Authorization
• Requests from external funding sources must be reviewed and approved by the OSP&R for adherence to University policies and funding agency guidelines.
• The OSP&R will review and complete the necessary assurances for Institutional Compliance.
• A proposal transmittal form must be submitted along with each proposal.
• The OSP&R will obtain the necessary signatures from different administrative departments.
• OS&R will make the required copies.
• OSP&R will forward the required copies to the funding agency/electronic submission of proposals.
• OSP&R will forward a complete signed copy to the Principal Investigator (PI) or Project Director (PD).

Award Negotiations
• Review and negotiate budgets.
• Review and negotiate publication rights.
• Review and negotiate indemnifications.
• Review and negotiate patents and copyrights.
• Review and negotiate licensing and royalties.
• Review and negotiate contract/agreement execution.

Administration of Funded Programs
• Assist the PI in managing the project by clarifying agency regulations and policies.
• Advise on revisions.
• Review and approve expenditures on grant/contract accounts.
• Act as liaison between PI and sponsor regarding modifications of funding projects (no-cost extensions, budget revisions).
- Prepare invoices and other billings.
- Prepare and submit financial reports.
- Develop, negotiate and administer all subcontracts.
- Provide contractual guidance (interpreting the sponsor’s regulations and guidelines).
- Coordinate account closeout including all financial, property and invention reports.
- Act as liaison for all audits involving sponsored projects.
- Monitor and document cost share requirements.
- Time and effort reporting verification.
- Input of budget in CSU financial system.
- Process budget modifications.
- Institutional Compliance.
- Institutional Review Board.
- Undergraduate Research.
- Tracking deliverables.
- Institutional Animal Care and Use Committee

The OSP&R is capable of assisting in the administration of grant/contract award activities. This assistance may range from acting as the project manager, assisting in the monitoring and control of finances, managing and tracking information on policy and regulations, assisting in the preparation and submission of required reports, and assuring that milestones are met in a timely manner.

The OSP&R is an important part of the University’s support structure and seeks to assist faculty and staff members in a variety of ways, including identifying funding sources; assisting with development of proposals; pre- and post-award administration of a grant or contract. In addition, the OSP&R is an advocate for a campus environment that is conducive to the research enterprise, and advises the administration on matters of regulatory compliance, internal sponsorship of scholarly activities, and other related issues.

The OSP&R strives to be a positive stimulus for the development of the university. The office must be active in ensuring that funding agencies are aware of, and familiar with, Central State’s capabilities and interests. The office must also ensure that the university responds to funding opportunities which are compatible with its mission, and for which it is positioned to compete. This entails identifying key opportunities for the university, communicating them to the faculty and staff, organizing and facilitating competitive proposals, and maintaining current department capability statements.

### III. PERSONNEL OF THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH

The OSP&R is currently staffed by four professionals. The duties of these staff members are divided between meeting the needs of the university in developing sponsored research/contracts, and grants, and managing or otherwise contributing to some of the projects which they have been instrumental in acquiring. These assignments are based on the
educational background and experience of the staff members. The current staff members and their assignments are listed below.

OFFICE OF SPONSORED PROGRAMS AND RESEARCH
ORGANIZATIONAL CHART

Morakinyo Kuti
Director

Clark Fuller
Associate Director

Tina Castonguay
Grants Manager

Susan Wachtel
Grants Writer

Director

Overall Responsibilities
The Director has principal responsibility for all pre- and post-award grant and contract management activities at the university. The director assists the University President and the Provost and Vice President for Academic Affairs in the management of university-funded programs, the formulation of university policies in matters involving research and represents the unit on various university committees.

Duties
- Identifies funding opportunities and trains the university community in the overall grant application and management processes.
- Direct the preparation of external grant/contract applications and the negotiation of all externally-funded grants and contracts.
- Develop workshops, seminars and training programs on opportunities and topics related to externally funded programs.
- Monitors all aspects of sponsored program activity, and recommends development of relevant new institutional policies or modifications to existing ones.
- Provide staff support to university committees concerned with research and sponsored programs.
- Ensure University wide compliance with federal administrative regulations (including
FAR, FAR supplements; OMB Circulars A-21, A-110, A-133, EDGAR and other agency specific regulations).

- Monitor university research compliance activities such as IRB.
- Coordinates submission of financial reports.
- Coordinates undergraduate research programs.
- Manages pre and post-award activities, subcontracts, negotiation of terms and conditions and closeout of grant/contract accounts.
- Responsible for compliance with university policies and procedures in the development of proposals and responsible for monitoring program implementation and deliverables to funding agencies.
- Conducts programmatic audits of all funded programs.
- Coordinates scholarly works including research with faculty researchers and students.
- Acts as liaison between inventors and potential licensees, reviews invention disclosures.

**Focus Areas for Morakinyo Kuti, Director**

- Role of project in CSU Mission – Institutional review and approval.
- Partnerships and collaborations with external agency guidelines.
- Compliance with university and external agencies.
- Budget preparation and review.
- Development of goals and objectives.
- Workshop, seminars and conference planning and execution.
- Evaluation.
- Contract negotiation and execution.
- Project management.
- Close-out reports and technical assistance.
- Financial Reports.
- Business development, technical reports, and inventory management.
- External Agencies.
- Compliance with Human Subjects Research.
- Administer Institutional Animal Care and Use Committee.

**Associate Director**

**Overall Responsibilities**

- Assist the Director in managing and administering the overall University pre-award proposal, grant and contract administration process.
- Assist the Director in coordinating the overall grant and contract proposal preparation activities of office staff.
- Attends respective federal and state meetings and conferences regarding funding opportunities.
- Acts as the Institutional Research Officer before the OBR’s Research Officers Council.
- Pre-award activities (proposal/budget development, interpretation of sponsor guidelines).
• Manages information dissemination efforts (workshops, funding searches).
• Manages technology transfer and business development activities and projects.
• Outreach to CSU departments.

Focus Areas for Clark Fuller, Associate Director
• International economic development programs and projects.
• International water resource, health and environmental projects.
• Collaborative partnerships, U.S. and international academic institutions.
• Collaborative partnerships, U.S. small businesses.
• Collaborative partnerships in renewable energy.
• Renewable energy technology & tech transfer, Developing Countries.
• Student restricted grant research, work and scholarship opportunities.
• Student internship opportunities, domestic and international.
• Student study abroad programs.
• Student language training programs.
• CAD/CAM training projects and programs.
• Dept. of Defense initiatives with HBCU’s.
• Military engineering, operations and technology.
• Earth science, planetary science and physical/cultural geography topics.
• Ohio Board of Regents programs—Research Incentive.
• Primary Federal Agency Interaction
  • U.S. Agency for International Development.
  • U.S. Dept of Labor.
  • U.S. Dept of Education.
  • NASA.
  • U.S. Dept. of Defense.
  • U.S. Dept. of Veterans Affairs.
  • U.S. Small Business Administration.
  • U.S. Dept of Transportation.
  • Federal Highway Administration.
  • National Renewable Energy Laboratory.
  • U.S. Dept. of Energy.

Grants Writer

Overall Responsibilities
Provide direct, pre-award grant administration services including: program guideline review and analysis; preparation of complex budgets; processing of proposals; and, as appropriate, utilization of electronic proposal submission. Serve as primary liaison to faculty and researchers on matters relating to proposal submission.

Duties
• Prepares, assists and provides guidance in the preparation of proposals, including
budgets that meet University and funding agency requirements.

- Monitors appropriate State and Federal compliance policies.
- Identifies University sponsored program needs and interests and maintains continuing liaison with administrators and faculty members.
- Prepares and participates in in-service training and professional development activities.
- Assists with the identification of potential sponsors for specific proposals or program areas.

Focus areas for Susan Wachtel, Grants Writer

- Economic development and community planning.
- Issues concerning rural communities.
- Master and strategic planning.
- Needs assessment.
- Project management.
- Collaborations – inter-department, inter-organization, inter-institution.
- Program and service enhancement, particularly with federal and state departments of education, health and human services, housing and urban development, interior/natural resources, labor, and transportation.
- Bricks and mortar – construction, renovation, and development.
- Complex budgets and justifications.

Grants Manager

Overall Responsibilities
Provide direct grant administration services.

Duties

- Reviews expenditures and rate of expenditures.
- Prepares financial reports.
- Prepares subcontracts.
- Prepares no-cost extensions.
- Prepares billings and collections.
- Processes letter of credit draw-downs.
- Processes cash management reporting.
- Assigns account numbers and award processing.
- Prepares reports for university financial audit.
- Responsible for processing awards.
- Entering budgets into the university financial system.
- Responsible for time and effort verification.
- Responsible for auditing payroll records.
- Ensure university wide adherence to appropriate compliance, certification and representation regulating requirements.
Focus areas for Tina Castonguay, Grants Manager

- Review, analysis and interpretation of all new awards of grants and contracts.
- Negotiation of contracts, grants and other forms of assistance with outside agencies.
- Establishing subcontracts.
- Assisting in the contractual management of the award through close out, especially in the budgetary and compliance areas.
- Assisting with University financial audits.

Administrative Coordinator (Vacant)

Provides direct administrative support to the Director of the Office of Sponsored Programs and Research.

Duties

- Performs routine clerical duties.
- Logs in and gives checks to Bursar’s Office for deposit into appropriate fund number.
- Assists in developing and publishing the Sponsored Programs Annual Newsletter.
- Maintains individual faculty areas of interest/capabilities file and assist in the preparation of University and Departmental Research Statements of Capability.
- Provides periodic word-processing and technical assistance to Principal Investigators in the administration and maintenance of on-going government and non-governmental grants and contracts.
- Ensures that proposals are developed in a quality manner with rigorous and thorough review.
- Archive and collect reviewer’s comments for prior proposals.
- Coordinates post-award contract compliance and technical reports to funding sources.

Focus Areas for Administrative Coordinator

- Meeting and conference planner/organizer.
- Banner qualified.
- Campus communications facilitator.

IV. KEY RESOURCES OF THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH

Early identification of opportunities and cultivation of the funding sources are key attributes in distinguishing those institutions which are highly successful in winning contracts. The OSP&R must have the resources and tools to permit early identification of opportunities and to promote preplanning and preparation prior to the issuing of a formal announcement where possible.

There are a number of tools and resources which are helpful in accomplishing early recognition of opportunities. The most important is to visit the potential sponsors’ websites. Personal relationships between university staff and decision makers at the funding agencies are also highly
important in obtaining information on the interests and planned acquisitions of sponsoring agencies, and in making sure that the funding agencies are aware of the university’s interests and capabilities. In many cases, personal relationships may be the only means of identifying a funding opportunity from a private source.

OSP&R will provide assistance to faculty and staff in researching, identifying, and matching funding opportunities with specific areas of interest and/or specialization. Those interested in having OSP&R provide ongoing funding research assistance should complete a Research Profile/Program Interest form (see Appendix). The form can be submitted electronically via the OSP&R webpage on the CSU website. Hard copies of the form are also available in the OSP&R.

OSP&R will acknowledge form receipt and provide updated search information to faculty and staff who have submitted the Profile/Interest form. Funding Alert e-mails will be sent when funding opportunities become available.

Aside from personal relationships, there are a number of communications media which are important resources in identifying pending funding opportunities. These media are accessed regularly by the OSP&R staff, who must screen the information and distribute it to appropriate faculty and staff members at the university. The following list highlights the different sources of information.

**Strategic Plans of Funding Agencies.** Most funding agencies have both short term (1 year) and long term (e.g., 5 years) strategic plans. These are fertile grounds for developing an understanding of the needs and directions of funding agencies, and allow the university to develop plans for meeting those needs.

**The Internet.** Almost all of the major funding sources have home pages on the Internet. Through these home pages, up-to-date information on Requests for Proposals (RFPs) and other solicitation mechanisms can be obtained, and in many cases, well before printed announcements are available. A listing of HBCU contacts at selected federal agencies is attached in the Appendix. In some cases, the RFP (or BAA, NOFA, etc.) can be directly downloaded onto a local PC. Additionally, many agencies are now making it mandatory to transmit proposals directly through the Internet. OSP&R staff members regularly access the home pages of targeted funding sources and obtain updates on pending procurements.

Other internet sites that can assist in seeking external funding are listed in the Internet Resource Guide in the Appendices.

**Listings of Foundations and Their Interests.** The university’s Foundation Office has developed information on various foundations and the types of activities that they are interested in supporting. This information can be very useful in identifying sources for unsolicited proposals to fund specific activities of interest to the university. Foundations are also potential sources for matching funds when “cash” matching is required for government contracts. Please contact the Foundation Office if you need assistance in identifying and working with foundations.
V. PROPOSAL DEVELOPMENT GUIDELINES

Proposal Types

A proposal is a request for external or internal support of a research, training, or technical assistance project. A proposal to a funding agency for sponsored research may either be solicited or unsolicited.

Solicitations are usually government-generated "Requests for Proposal" (RFP) or "Requests for Quotation" (RFQ) on a specific research, training, or technical assistance project. In such cases, the intended scope of work is pre-determined by the soliciting agency, and specific requirements for the format and content of both technical and cost proposals represented in the published requests. The successful solicited proposal may result in either a contract or a grant. Other types of procurement vehicles used by government agencies include the Notice of Funding Availability (NOFA) and the Broad Area (or Agency) Announcement (BAA).

Unsolicited proposals may be initiated by individuals at any time. Many funding entities have general requirements for the format of unsolicited proposals. The OSP&R staff can contact the sponsor for guidelines or other indications of sponsor requirements.

Pre-submission and Submission Processes

Particularly when unsolicited proposals are involved, it is wise to contact a program officer within a government or private funding agency to discuss a project idea before actually submitting a formal proposal. Most program officers welcome advance contact on research areas of interest to their organizations. However, in no case, should a private foundation or corporation be contacted for donations without the knowledge of the Office of Institutional Advancement.

Agency contacts are made through: (1) a telephone inquiry or agency visit; (2) a white paper; (3) letter of intent; or (4) a preliminary proposal;

1. Individuals are encouraged to make telephone inquiries on their own but may request assistance from OSP&R staff. In some cases, the OSP&R staff may make the initial agency contact on behalf of the faculty or staff member. Likewise, an individual may visit a potential sponsor or may be accompanied by a representative of OSP&R. Throughout the course of such exploratory calls or visits, **there can be no commitment of University resources or cash matching.**

2. A white paper is a general presentation of a project idea designed to elicit feedback from a potential sponsor. As in telephone inquiries or agency visits, **commitments cannot be made.** Formal routing or review of a white paper may be required by department chairs or University Deans. Individuals are encouraged to forward a copy of such correspondence to notify OSP&R of pending proposal development resulting from such inquiries.
3. A letter of intent expresses the intention to submit a proposal in response to a particular program announcement or Request for Proposal (RFP). Letters of intent are generally solicited by the sponsor in conjunction with announcements expected to generate widespread interest. Agencies generally require that such letters present only a general statement of the intended research theme. A copy of the letter of intent should be filed with OSP&R. If the letter of intent contains budget estimates or ranges, it should be reviewed by OSP&R prior to submission.

4. Preliminary proposals, like letters of intent, are generally solicited by sponsor agencies. A pre-proposal usually includes a one to five page description of the project. It may also require an outline budget and some indication of the University's willingness to support the project through a commitment of resources. Any document that mentions budget figures or commits University space and other resources is subject to the review and approval of the Department Chairperson, the appropriate Dean, the Provost and Vice President for Academic Affairs, and the President. The appropriate staff in the Office of the Vice President for Administration and Chief Financial Officer must review and initial the budget page(s).

In determining whether or not to respond to a given procurement opportunity, and in developing a strategy for a proposal there are many self-examination-type questions which should be asked. Most of these are related to how much prior knowledge and understanding CSU has with regard to the procurement and how familiar with and favorable the funding agency is to CSU. The following are examples of the types of questions that might be considered. This is by no means an exhaustive list.

1. Is the proposed project consistent with the general mission and objectives of CSU?

2. Were we aware of this need before the RFP was issued? Did we help to write the RFP or did we otherwise contribute to its conceptualization?

3. Is the funding agency aware of CSU, including its capabilities in areas related to this procurement and its interest in this specific project?

4. Has CSU done work of this type before?

5. Do we currently have (or have we recently had) other projects supported by this agency? What is our “track-record” with them? Do they view us as being capable and competent?

6. Do we have a clear understanding of the problem, including any preconceptions that the funding agency might have regarding its solution?

7. Do we have a solution or approach, which is both unique and convincing?
Do we know who the competition is and what their approaches are likely to be?

Do we have the resources including staff, facilities, and equipment, to successfully perform on this project?

Do we need to collaborate with someone in order to be competitive in this procurement? If so, have we identified and established a relationship with an appropriate partner?

Do we have an appropriate proposal team identified and in-place?

Is this project consistent with the Departmental mission, objectives, and strategic plan?

The self-examination process is important in determining the potential for a successful bid and the reasonableness of investing in a proposal development effort. The following briefly outlines key steps and activities in both the pre-award and post-award stages of the grant/contract acquisition process.

**Pre-Award Activities**

1. Market - cultivate potential sponsors; identify planned solicitations.
2. Obtain procurement document when issued.
3. OSP&R will distribute procurement information to appropriate faculty & staff.
4. Bid/no-bid decision process - OSP&R can facilitate.
5. OSP&R can provide proposal outline/analysis.
6. Organize the proposal team; establish writing assignments and schedules.
7. OSP&R can facilitate the review process.
8. Obtain final approvals/signatures.
9. Print and bind proposal copies.
10. OSP&R makes final inspection to ensure that proposal is complete and in order.
11. OSP&R ensures shipping/electronic submission is in time for acceptance.
12. OSP&R obtains acknowledgment of receipt of proposal.
13. OSP&R make follow-up calls to track contract award process.

**Post-Award Activities**

1. Establish fund number and chart of accounts.

2. Establish/revise project schedule/milestone chart; setup/modify project tracking software.

3. Convene and brief project team; assign tasks and sub-accounts (preferably by memo).

4. Hold project kick-off meeting with sponsor.

5. Monitor technical progress, costs and funding drawdowns.

6. Invoice funding agency on a timely basis.

7. Submit monthly financial reports and quarterly technical reports (or other appropriate reporting periods).


In-Kind Contributions and Matching Funds

In-kind and matching funds requirements and sources of such contributions must be identified before an application is submitted to a sponsor if it is required as part of the proposal. The appropriate chair, dean, or CSU official who is responsible for the affected budget must approve these contributions.

Matching funds is the total project or program cost not borne by the funding agency and refers to a financial commitment on the part of CSU.

Matching funds occurs when CSU allocates new funds beyond those committed by the funding agency to support a sponsored project. Matching support may be provided at a particular ratio as specified as a requirement to that which the funding agency provides.

Matching funds under a federal grant is subject to Office of Management and Budget (OMB) Circular A-110 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations: Uniform Administrative Requirements). A-110 stipulates that the matching funds must come from non-federal sources and contribute directly to the proposed project. However, funding from state, corporate, and private foundation funding can be used as matching funds.

In-kind contributions represent the value of non-cash contributions provided by CSU and non-federal third parties. Property purchased with federal funds can only be considered as CSU’s in-kind contribution when authorized by federal legislation. In-kind contributions may be in the form of faculty/staff salaries and fringe benefits for the time spent on the project, real property if it is totally committed to the project, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

All matching funds and in-kind contributions that are required or reported to a funding agency must be documented. They are auditable and subject to verification. Salaries, wages, and fringe benefits must be certified via the time and effort form. Supplies, materials, and equipment must be supported by invoices or other documents verifying the expenditure. The project director/principal investigator must report all matching expenditures and in-kind contributions to the OSP&R at the end of the funding cycle with supporting documentation.

The Proposal Transmittal Form is the means for ensuring that the appropriate senior administrators have had the opportunity to review the final document, and that approval and commitment of the university is agreed upon. All signatures listed on the transmittal form must be obtained before the proposal can be released to the prospective sponsor. In special cases where the potential sponsor requires rapid approval, it is recommended that you brief the appropriate Vice President (e.g., the Provost and Vice President for Academic Affairs in the case of most faculty members) and the OSP&R on the need to work closely with them to expedite the approval process. The transmittal form will be retained by the OSP&R so that a centralized
VI. PROPOSAL DEVELOPMENT FLOW

1. Announcement from funding source/unsolicited proposal to source.

2. OSP&R sends out email notification and also makes direct contact with appropriate faculty and staff members to review information on the procurement opportunity.

3. a.) Principals meet to discuss requirements and qualifications for a successful response to solicitation.

   b.) Bid/No-Bid decision is agreed upon. If yes, proposal team and project team are selected.

   c.) Develop project concept/approach, scope, and budget requirements.

   d.) Establish proposal development assignments and schedule.

4. Proposal development is approved by Dean/Director or Principal Investigator.

5. Principal Investigator/Project Director meets with OSP&R to write outline, formulate general response, and determine level of assistance required from OSP&R.

6. Principal Investigator/Project Director provides OSP&R with initial draft of proposal for recommendations and changes.

7. Independent knowledgeable group performs in-depth review of draft proposal and recommends appropriate modifications and changes.

8. Principal Investigator/Project Director submits final draft of proposal in electronic format and hard copy to OSP&R for final review and submission.

9. OSP&R submits proposal to the Provost and Vice President for Academic Affairs, Vice President for Administration and Chief Financial Officer, and President for approval. **Please allow seven (7) business days for review and approval process.**

10. After approval, OSP&R ensures that the proposal is complete with all required assurances and certifications, required copies and submits to funding agency.

11. OSP&R provides a complete copy to Principal Investigator.

12. OSP&R follows up with funding source regarding proposal review process.
VII. PROPOSAL REVIEW AND EVALUATION GUIDELINES

There are generally two primary formal review steps in the proposal submission process. The first is conducted by a team of staff members who are knowledgeable in the area(s) being proposed, but are not directly involved in the proposal generation process. It is this team’s task to review the proposal from the perspective of the potential sponsor and to provide detailed critiques and comments that will allow the proposal team to fine-tune the proposal to maximize its potential for success.

The second key formal review is the final inspection of the document, just before shipping, to ensure that everything is in proper order and that no critical elements have been left out or overlooked. This must be done by persons who are knowledgeable of the requirements for the specific solicitation being addressed and who also have a general knowledge of proposal preparation and submission procedures. Staff members from the Office of Sponsored Research will generally have these qualifications.

The OSP&R final review should be performed on the final version of the proposal. This should be the initial printed volume just prior to shipping/electronic submission, but before all required copies are printed. The OSP&R review will focus on ensuring that:

1. All explicit evaluation criteria are addressed.
2. The document is complete and in order.
3. All document format requirements are met.
4. The proper forms are filled out, signed, and attached.
5. All required signatures are on the proposal transmittal form.
FINAL PROPOSAL APPROVAL PROCESS

PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR and CO-PRINCIPAL INVESTIGATOR/CO-PROJECT DIRECTOR (if applicable)

1. Certifies that information included in proposal is correct.
2. Assures that project complements University's goals and objectives.
3. Certifies that he/she agrees to commitments outlined in proposal.

DEPARTMENT CHAIR

1. Acknowledges and approves sponsored project.
2. Attest to academic purposes and appropriateness of proposed budget.
3. Assures adherence to University and regulatory compliance.

DEAN/DIRECTOR

1. Acknowledges and approves contents of proposal.
2. Concurs with substance and merit of proposal.
3. Confirms that proposal is consistent with role, scope, and mission of unit.

OFFICE OF SPONSORED PROGRAMS AND RESEARCH

1. Assures that proposal has been reviewed by appropriate persons.
2. Reviews budgets for appropriate financial requirements.
3. Assures that proposal meets requirements of potential sponsor.
4. Confirms that proposal is consistent with role, scope, and mission of unit.
5. Review merits of proposal.

CSU BUDGET DIRECTOR

1. Ensures that all budgets are accurate and have been developed in the best interest of the University; and that all other fiscal requirements of the proposal are appropriate and comply with University and other regulatory guidelines.

PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS

1. Attest to merit of proposal.
2. Confirms concurrence with submission of proposal.
3. Ensures that curriculum, programmatic, personnel and other factors that may impact University are evaluated.

VICE PRESIDENT FOR ADMINISTRATION AND CHIEF FINANCIAL OFFICER

1. Ensures that all budgets are accurate and have been developed in the best interest of the University; and that all other fiscal requirements of the proposal are appropriate and comply with University and other regulatory guidelines.

CENTRAL STATE UNIVERSITY PRESIDENT

1. Confirms concurrence with submission of proposal.
APPENDICES
Faculty-Staff Research Profile/Program Interest Form

Name: ____________________________________________

Position: ____________________________________________

Department: ____________________________________________

Campus Address (building/office number): ____________________________

Campus Phone Number: ____________________________________________

Campus Fax Number: ____________________________________________

Home Phone Number: ____________________________________________

E-Mail (work): ____________________________________________

E-Mail (home): ____________________________________________

Interest Area
(Please be specific): ____________________________________________

Use other side if necessary.

________________________________________

________________________________________

________________________________________

Prior Funded Projects: ____________________________________________

Prior Funding Agencies: ____________________________________________
Institutional Fact Sheet

Institution Name: Central State University
Address: Office of Sponsored Programs and Research
P. O. Box 1004
Wilberforce, Ohio 45384
Institutional ID Number: 31-0675386
Institutional DUNS Number: 00-887-3747
CAGE Number: 2T962

Authorized Institutional Official:
Name: John W. Garland, President
Phone: (937) 376-6332
Fax: (937) 376-6138
E-mail: jgarland@centralstate.edu

Administrative Contact:
Name: Morakinyo Kuti, Director, Office of Sponsored Programs and Research
Phone: (937) 376-6547
Fax: (937) 376-6598
E-mail: mkuti@centralstate.edu

Indirect Cost Rate:

On-Campus: 43% of Modified Total Direct Costs
Off Campus: 20.4% of Modified Total Direct Costs

Base:
Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of $25,000.

Indirect Cost Agreement Date: July 1, 2009 – June 30, 2013

Cognizant Audit Agency: U. S. Department of Health and Human Services

Fringe Benefit Rates – July 1, 2011 through June 30, 2012 (calculated as % of salary):

<table>
<thead>
<tr>
<th>Type of Employee</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Time Employees</td>
<td>40%</td>
</tr>
<tr>
<td>Part Time Employees</td>
<td>16%</td>
</tr>
</tbody>
</table>

Congressional District:
7 – Steve Austria

U.S. Senators:
Rob Portman
Sherrod Brown

Ohio House District:
76 – Robert Sprague

Ohio Senate District:
10 - Chris Widener
CENTRAL STATE UNIVERSITY
Transmittal Form for Proposal Review and Approval
Completed Form Required for Proposal Processing
Submit to the Office of Sponsored Programs and Research

Principal Investigator: __________________________ Dept.: _____________ Ext.: ___________
Project Director

Title of Project: __________________________________________________________

Proposed Effective Dates: ___________________________ Duration: ___________
    Begin                  End

Total Direct Costs: __________ Total Indirect Costs: __________ Total Funds Requested: __________

Summary of Project:

Sponsor’s Name and Mailing Address:
(Street address, Building and Room Numbers must be included for proposals being mailed by mail.)

Sponsor’s Name: ________________________________________________
Street Address: _________________________________________________
City, State, Zip: _________________________________________________
Sponsor’s Phone Number: _________________________________________

PROJECT TYPE: Research Instruction Public Service Student Service
PROPOSAL TYPE: Grant Contract
CFDA #: __________

PROJECT COST SHARING:
Have you committed to cost share in this proposal?
Yes ______ No ______
Percentage of effort: ______
Other Cost Share Commitments:
Cost Share Fund/Org.: _______________________

INDIRECT COSTS:
Does the sponsor limit or forbid indirect costs?
Yes ______ No ______
If yes, maximum percentage allowed: ______
Basis: __________________________

HUMAN SUBJECTS:
Does this project involve human subjects?
Yes ______ No ______

PI has filed annual Policy on Conflict of Interest
__ Yes ___ No
If yes, date Policy last filed ____________________

EQUIPMENT MATCH:
Yes ______ Amount: $ ______________________
Source: __________________________
No: __________________

PROJECT SPACE:
Is space other than current office or lab necessary?
Yes ______ No ______
If yes, identify: ____________________________

ANIMALS (if applicable):
Does this project involve the use of animals?
Yes ______ No ______

Deadline Date

<table>
<thead>
<tr>
<th>Deadline Date</th>
<th>RFP Announcement Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Electronic Submission Deadline</td>
</tr>
<tr>
<td></td>
<td>Postmark Deadline</td>
</tr>
<tr>
<td></td>
<td>Total Number of Copies including Original</td>
</tr>
</tbody>
</table>

Current CSU Fund Number

___ New Project
___ Revised Budget
___ Competing Renewal
___ Non-Competing Continuation
___ New Project
___ Revised Budget
___ Competing Renewal
___ Non-Competing Continuation

___________________
Current CSU Fund Number
If yes, approval date: ________________
Application pending, date submitted: ________________

PRIOR INSTITUTIONAL APPROVALS:
Creation of New Organizational Unit ________________
Creation of New Degree Program ________________
Alterations to Existing Space ________________
Supplemental/Overload Salary ________________

Attach appropriate University approvals for any of the above listed circumstances.

OTHER SAFETY COMMITTEE REVIEW (if applicable):
Radiation Safety ___________ Chemical Safety _________ Bio Safety _________
Date of Approval ____________

INVESTIGATOR’S STATEMENT: Except as covered by written authorization for this project, this application does not obligate the University for funds for additional facilities, equipment, remodeling, extra operating funds, or matching funds, nor for the establishment of new organizations, courses, or programs not previously approved. For Co-Investigators in the same Department it is assumed that credit will be divided equally. If this is NOT the case, indicate the appropriate percentage after the signature of each investigator. (All Investigators and Co-Investigators must sign.)

Signature of Investigator(s)  My signature below certifies that: 1) I am not delinquent on any federal debt; 2) I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department or agency; 3) I have not and will not lobby any federal agency on behalf of this award; 4) I am aware of and agree to abide by the CSU Drug Free Workplace policy; 5) I agree to abide by the CSU Conflict of Interest policy; 6) I agree to be bound by the terms and conditions of the outside grant or contract which supports this proposed activity and, in consideration of the information and facilities made available to me by the University or the outside sponsor, to assign copyright (where appropriate) and patent rights to Central State University; 7) the information submitted herein is true, complete and accurate to the best of my knowledge; 8) any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil or administrative penalties;9) I agree to accept responsibility for the scientific conduct of the project and to provide progress report.

Principal Investigator Date  Co-Principal Investigator Date
Co-Principal Investigator Date  Co-Principal Investigator Date

Department Chairperson's/Division Head's, Dean's Statement: I have reviewed this proposal and the accompanying transmittal form. The research or program proposed is in keeping with College/Division/Department/Institute educational objectives and is beneficial to the University. The College(s)/Division(s)/Department(s)/Institute(s) is aware of all requirements of this project and is committed to providing for them, except as noted.

*Department Chairperson(s)  Date  College Dean(s)/Division Heads
*(Chair of all Departments Involved must sign.)

Director, Office of Sponsored Programs and Research  Date  Budget Director  Date
Applicable Vice President  Date  Vice President for Administration and Chief Financial Officer  Date
President  Date

NOTES

OSP&R USE ONLY
Proposal Number:  
Grant Number:  
Date Submitted:
SAMPLE BUDGET
### Project Proposal Budget

**Organization:** Central State University  
**Proposal No.:**  
**Award No.:** Funds  
**Principal Investigator/Project Director:** Charles Wesley  
**Duration (Months):** Proposed

#### A. Senior Personnel: PI/PD, Co-PI’s, Faculty and Other Senior Associates

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Title</th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th>Person-months</th>
<th>Requested By</th>
<th>Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charles</td>
<td>Wesley</td>
<td>P.I</td>
<td>0.00</td>
<td>9.00</td>
<td>0.00</td>
<td>$75,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lionel</td>
<td>Newsom</td>
<td>Co. P.I</td>
<td>0.00</td>
<td>4.50</td>
<td>0.00</td>
<td>$25,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
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<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>$0.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(2) TOTAL SENIOR Personnel (1-6) $100,000.00

#### B. Other Personnel (Show Numbers in Brackets)

1. (0) Post Doctoral Associates  
2. (0) Other Professionals (Technician, Programmer, Etc.)  
3. (0) Graduate Students  
4. (6) Undergraduate Students $15,000.00  
5. (1) Secretarial - Clerical (If Charged Directly) $35,000.00  
6. (0) Other $0.00

TOTAL SALARIES AND WAGES (A+B) $150,000.00

#### C. Fringe Benefits (If Charged as Direct Costs)

TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C) $204,000.00

#### D. Permanent Equipment (List Item and Dollar Amount for Each Item Exceeding $5,000)

<table>
<thead>
<tr>
<th>Item</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auto Clave Machine</td>
<td>$80,000.00</td>
</tr>
</tbody>
</table>

TOTAL EQUIPMENT $80,000.00

#### E. Travel

1. Domestic (incl. Canada, Mexico and U.S. Possessions) $5,000.00  
2. Foreign $0.00

#### F. Participant Support Costs

1. Stipends $15,000.00  
2. Travel $4,500.00  
3. Subsistence $45,000.00  
4. Other $15,000.00

(15) TOTAL NUMBER OF PARTICIPANTS $79,500.00

#### G. Other Direct Costs

1. Materials and Supplies $5,000.00  
2. Publication Costs/Documentation/Dissemination $2,500.00  
3. Consultant Services $10,000.00  
4. Computers Services $0.00  
5. Subawards $50,000.00  
6. Other $0.00

TOTAL OTHER DIRECT COSTS $67,500.00

#### H. Total Direct Costs (A through G)

TOTAL DIRECT COSTS $436,000.00

#### I. Indirect Costs (Specify Rate and Base)

<table>
<thead>
<tr>
<th>Name of indirect cost item</th>
<th>Amount</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>43% MTDC</td>
<td>$341,000</td>
<td>43%</td>
</tr>
</tbody>
</table>

TOTAL INDIRECT COSTS $146,630.00

#### J. Total Direct and Indirect Costs (H+I)

TOTAL DIRECT AND INDIRECT COSTS $582,630.00

#### K. Residual Funds (If for Further Support of Current Projects See GPG II.D.7.j.)

TOTAL RESIDUAL FUNDS $0.00

#### L. Amount of This Request (J or I minus K)

AMOUNT OF THIS REQUEST $582,630.00

#### M. Cost Sharing: Proposed Level

AGREED LEVEL IF DIFFERENT $  

#### PI/PD Typed Name & Signature*

DATE

#### INDIRECT COST RATE VERIFICATION

Date Checked  
Date Rate of Sheet

*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG III.B)
A. **Senior Personnel**
1. Principal Investigator: Dr. Charles Wesley will be responsible for overall project goals and objectives and will guide all work in the science, technology, engineering and mathematics (STEM) areas. Dr. Wesley will devote 9 months (100%) of the academic year on a release time basis at his annual salary of $75,000, which will be charged to the project.
2. Co-PI: Dr. Lionel Newsom will be responsible for the day-to-day management of the program as the Program Director and serve as the coordinator for linkages with community colleges. Dr. Newsom will devote 4.5 months (50%) of his time during the academic year on a release time basis for a total of $25,000 (50% of his $50,000 salary) will be charged to the grant.

**Subtotal Senior Personnel:** $100,000

B. **Other Personnel**
1. Six (6) CSU undergraduate students will work on the project. $15,000 (6 students at $2,500 each) will be charged to the project.
2. One clerical staff person will be hired to assist the PI and co-PI in handling the daily business and communications of the program. He/she will receive an annual salary of $35,000 which will be charged to the grant.

**Total Salaries and Wages:** $150,000

C. **Fringe Benefits:** Fringe benefits will be charged as a direct cost rate of 40% of salary for full time employees. $54,000 (40% x $135,000) will be charged to the project.

**TOTAL PERSONNEL:** $204,000

D. **PERMANENT EQUIPMENT:** An autoclave will be purchased for student and faculty research at a cost of $80,000, which will be charged to the grant.

**TOTAL PERMANENT EQUIPMENT - $80,000**

E. **TRAVEL:**
1. Mileage will be paid to faculty mentors working with local STEM high schools. $2,000 (3,600 miles x $0.555) will be charged to the project.
2. Travel for the PI and Co-PI to attend one mandatory conference will be charged to the grant. $3,000 will be charged to the project.

   a. **Airfare ($600 x 2)** $1,200
b. Lodging ($180 per night x 3 nights x 2) 1,080
  
c. Meals ($40 per diem x 3 days x 2) 240
  
d. Mileage (30 miles x $0.555 x 2 trips to and from the airport x 2) 67
  
e. Parking ($12 per day x 3 days x 2) 72
  
f. Ground transportation 141
  
g. Registration ($100 x 2) 200
  
$3,000

TOTAL TRAVEL: $5,000

F. PARTICIPANT SUPPORT COSTS

1. Stipends of $1,000 will be given to 15 students to conduct research. $15,000 will be charged to the project

2. Travel costs of $300 each will be given to 15 participants to various Ohio universities to conduct research. $4,500 will be charged to the project.

3. Subsistence of $3,000 per student for room and board and meals will be paid to 15 participants during their off-campus research experiences. $45,000 will be charged to the project.

4. Other: Three participants will receive $5,000 in scholarships. $15,000 will be charged to the project.

TOTAL PARTICIPANT SUPPORT COSTS: $79,500

G. OTHER DIRECT COSTS

1. Materials and Supplies: $5,000 will be charged to the project
   
   a. Consumable office supplies $1,500
   
   b. Tutoring software programs 2,000
   
   c. Participant training materials and books 1,500

CSU will develop informational sheets, brochures, flyers and other promotional materials for distribution to CSU STEM majors about the summer research program, professional preparation and resultant presentation. The estimated cost for design, production, and distribution of these materials is $2,500 and will be charged to the project.

3. Consultant Services
An independent evaluator will be hired to assess CSU performance in student training and program execution. $10,000 will be charged to the project.

4. Subawards
Subawards of $10,000 each will be paid to Ohio research universities to provide mentoring and quality research experience to three CSU undergraduate students. Subawards will be paid to Ohio State University, Bowling Green State University, Wright State University, University of Toledo and University of Cincinnati. $50,000 will be charged to the grant.
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL OTHER DIRECT COSTS:</td>
<td>$67,500</td>
</tr>
<tr>
<td>H. TOTAL DIRECT COSTS</td>
<td>$436,000</td>
</tr>
<tr>
<td>I. INDIRECT COSTS</td>
<td>The University’s official negotiated indirect cost rate is 43% of the modified total direct costs (MTDC). The MTDC is total direct costs less, equipment, scholarships, and cost above $25,000 for sub awards. $436,000 - $95,000 = $341,000 x 43%. $146,630 will be charged to the grant.</td>
</tr>
<tr>
<td>J. TOTAL DIRECT AND INDIRECT COST</td>
<td>$582,630</td>
</tr>
</tbody>
</table>
PREFACE

A Guide to Managing Externally Sponsored Programs and Research is designed to aid Principal Investigators, Project Directors, and their staffs in managing their projects more effectively. The guide provides pertinent information and explains processes necessary for the negotiation of the awards through the project closeout. The guide discusses budget set up, personnel process, acquisition of goods and services, operational management, reporting requirements and closeout procedures that are necessary to ensure a well-managed project. Applicable university policies can be found at www.centralstate.edu.
I. **AWARD NEGOTIATION AND CONTRACT EXECUTION**

Upon notification of an award by a sponsor, the Principal Investigator (PI) or Project Director (PD) should notify the Office of Sponsored Programs and Research (OSP&R) if they are contacted directly by the sponsor. Once the award has been received by OSP&R from the sponsor or PI/PD, the following process is initiated.

A. OSP&R will review to determine if negotiation of terms and conditions are necessary.

B. OSP&R will contact the sponsor if negotiation is necessary, otherwise proceed to step II.

1.) Negotiations with sponsors may include review of award/contract to ensure that it complies with CSU policy and/or State of Ohio Law. Negotiations of awards/contract in this process may require the involvement of CSU General Counsel. Upon satisfactory resolution of negotiations, proceed to step II.

II. **BUDGET SETUP**

A. Upon agreement with the sponsor, OSP&R will forward an electronic memo to the Controller’s Office requesting a restricted fund number for the project budget per university accounting lines as listed below.

61000: Salary line for regular faculty salary during academic year.

61100 Salary line for staff monthly contract employees.

61101: Salary line for staff monthly contract employees who work off main campus. Off campus indirect costs apply.

61300 Salary line for biweekly employees.

61330 Salary line for supplemental salary for faculty members and staff employees.

61331 Salary line for supplemental salary for faculty members and staff employees who work off main campus. Off campus indirect costs apply.

61332 Supplemental salary – no indirect costs.

61335 Salary line for part-time wages.

61475 Salary line for overtime wages for biweekly employees.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>61600</td>
<td>Salary line for college cash for student employees.</td>
</tr>
<tr>
<td>61700</td>
<td>Fringe benefits. 40% of full-time and supplemental salaries and 16% for part-time salaries. No fringe benefits are charged to students during the academic year. Fringe benefits at the 16% are charged during the summer if a student is not enrolled in summer session.</td>
</tr>
<tr>
<td>71800</td>
<td>Consumable office supplies such as paper, pens, and printer supplies.</td>
</tr>
<tr>
<td>71801</td>
<td>Supplies from internal bookstore. Used for internal charge.</td>
</tr>
<tr>
<td>71805</td>
<td>Resource materials for the library.</td>
</tr>
<tr>
<td>71900</td>
<td>Travel for full and part-time CSU employees but not students.</td>
</tr>
<tr>
<td>71920</td>
<td>Travel for CSU students.</td>
</tr>
<tr>
<td>71940</td>
<td>Travel for consultants.</td>
</tr>
<tr>
<td>71950</td>
<td>Travel for non-CSU employees directly participating on projects such as consultants, advisory board members, evaluators, etc.</td>
</tr>
<tr>
<td>72000</td>
<td>Dues, memberships, and subscriptions.</td>
</tr>
<tr>
<td>72100</td>
<td>Parts and services for maintenance and repairs of buildings, fixtures, furniture, and other properties.</td>
</tr>
<tr>
<td>72105</td>
<td>Contracted maintenance and service agreements. Typically annual service and maintenance agreements.</td>
</tr>
<tr>
<td>72200</td>
<td>Purchased Services such as subcontracts, evaluation services, consultants.</td>
</tr>
<tr>
<td>72202</td>
<td>Cable installation and services.</td>
</tr>
<tr>
<td>72203</td>
<td>Rental space for restricted funds only.</td>
</tr>
<tr>
<td>72204</td>
<td>Grant subcontracts over $25,000. Use 72200 for $25,000 or less.</td>
</tr>
<tr>
<td>72208</td>
<td>Postage expenses.</td>
</tr>
<tr>
<td>72209</td>
<td>Printing and copying expenses.</td>
</tr>
</tbody>
</table>
External audit fees.

Communication expenses including the telephone main lines, all telephone related services, cell phones, and other mobile communication devices.

Purchase of assets includes all items which have an expected life greater than one year and cost $5,000 or more.

Purchase of items which have an expected life greater than one year and a cost of $500 but less than $5,000.

Purchase of computers, monitors, printers, scanners, hard drives, zip drives, and any other computer related equipment with a cost of $5,000 or more.

Purchase of computers, monitors, printers, scanners, hard drives, zip drives, and any other computer related equipment with a cost of $500 but less than $5,000.

Operating leases on equipment.

Miscellaneous items not specifically identified in other university account lines.

Room and board to be paid to CSU.

Tuition and fees to be paid to CSU.

Stipends paid to project participants.

Scholarships for project participants; CSU students only.

Indirect costs.

After setting up the project budget in the CSU financial system, PI/PD’s will receive an electronic memo from the Office of Sponsored Programs and Research with their official Chart of Accounts and may initiate the implementation of their project.

III. PERSONNEL SELECTION AND HIRING

A. Hiring New Employees
I. Strategic Position Review

As part of the Efficiency Strategy being implemented campus wide, departments wishing to fill a vacant position perform a Strategic Position Review. The Strategic Position Review Process was developed to determine whether it is necessary to fill a vacant position, and how and where the duties of the position should be placed within the University. The Strategic Position Review includes 3 documents: Strategic Position Review Process, Strategic Position Review Questionnaire, and the Strategic Position Review Approval Form (Figure 1). The Strategic Review Process must be completed and approved prior to initiating the Electronic Position Requisition. The position description must be attached (Figure 2). The Strategic Position Review Approval Form must be completed with all required signatures. **Human Resources will advise as to whether approval has been granted and the Electronic Position Requisition can be initiated.**

Please see [http://www.centralstate.edu/faculty/human_res/forms.htm](http://www.centralstate.edu/faculty/human_res/forms.htm).

II. Personnel Action Form

Upon selection of candidate, a Personnel Action Form needs to be initiated (Figure 3)

Instructions:
Check the appropriate box for faculty, adjunct faculty, staff and graduate assistant.

Section 1. Personnel Actions
- Name – self explanatory
- Check Male or Female
- Social Security Number – self explanatory
- Effective Dates – Enter start and end date
- Check the appropriate box for type of hire
- Employee Work Location – list the building the person will be located
- Room number – enter the room number the person will be located
- Office Phone Number – Self explanatory
- Supervisor – Enter the name of the employee’s supervisor
- Job title – Enter the title of the employee
- Department/Project – Enter the project name the employee is hired under
- Division – The division the project falls under, ie., Academic Affairs

Section 2. Budget
- Funding Source – Check either Title III or Grants
- Pay Frequency – Check appropriate box
- Payroll – Enter the salary rate the employee is making on the project.
- Fund Code/Org Code/Account Number – Self explanatory
- Benefits Eligibility – Self explanatory
Section 3. Comments  
- Self Explanatory.

Section 6. Approval  
- Self Explanatory.

Please note: If a current staff member, in supplemental status, a certification and approval form must be attached with appropriate signatures (see Figure 4).

Attach a job description and pay schedule to the PAF.
Central State University
Strategic Position Review Progress

Efficiency Strategy

The University requires that decisions to fill a vacant position be strategically examined. The position review shall occur prior to initiating an Employment Requisition (ER) to Human Resources. The purpose of the position review is to ensure that all advertised positions are appropriate and necessary. Vacant positions will not be automatically filled and evidence that a Strategic Position Review has occurred is required.

Guidelines

The hiring division must perform a Strategic Position Review considering the following factors:

- Do the duties and responsibilities of the position need to be performed in order for the department and/or division to operate?
- Review departmental operations to determine if the duties of the position need to be performed by the position under consideration.
- Review divisional operations to determine if the position should be reassigned to another department within the division.
- Can the duties and responsibilities of the position be absorbed into existing positions?
- Does this position represent a duplication of duties that an existing position performs adequately?
- Is the position a part of the necessary operations of the department and division?
- Are the position, function, and duties properly placed in the existing department or division?
- Should the position, function, or duty be placed in a different department or division?
- Should the position description be revised to include new or different duties?
- Should the position be reclassified (upward, downward, or laterally) to include new or different duties or level of authority and responsibility?
- Is the position reporting to the proper and appropriate position?
- Does the position have the proper and appropriate positions reporting to it?
- Has the position become obsolete and outdated?
- Have new technologies and innovations had an impact on the position?
- Determine whether filling the position is a sound financial decision.
Strategic Position Review
Approval Form

Position Title:__________________________________________________________

Position Control Number:_____________________________________________

__________________________________________ Date __________
Divisional Vice President

__________________________________________ Date __________
Vice President for Administration
And Chief Financial Officer

__________________________________________ Date __________
President
Central State University

Strategic Position Review Process Questionnaire

**Efficiency Strategy**

The University requires that decisions to fill a vacant position be strategically examined. The position review shall occur prior to initiation an Employment Requisition (ER) to Human Resources. The purpose of the position review is to ensure that all advertised positions are appropriate and necessary. Vacant positions will not be automatically filled and evidence that a Strategic Position Review has occurred as required.

In responding to the questionnaire, consider efficiency goals and determine whether filling the position is a sound financial decision.

**QUESTIONNAIRE**

Do the duties and responsibilities of the position need to be performed in order for the department and/or division to operate?

Can the duties and responsibilities of the position be absorbed into an existing position?

Does the position represent a duplication of duties that an existing position performs adequately?

Is the position a part of the necessary operations of the department and division? Are the duties performed adequately in another division or department such that this position can be eliminated? If so, where should the position be placed?

Should the position be revised to include new or different duties? Is a Reclassification (upward, downward or laterally) warranted? If so explain.

Should the position description be revised to include new or different duties? If so, describe...
Those duties.

Has the position become obsolete and outdated? Have new technologies and innovations had an impact on the position?

______________________________  ______________________
Director                        Date

This questionnaire *must* be attached to the Position Description
Position: Research Associate/Grants Writer

Responsible To: Director, Office of Sponsored Programs & Research

Overall Responsibilities: Provide direct, pre-award grant administration services including: program guideline review and analysis; preparation of complex budgets; processing of proposals; and, as appropriate, utilization of electronic proposal submission. Serve as primary liaison to faculty and researchers on matters relating to proposal submission. Assistance in the management of internally funded projects may be included in duties depending on candidate’s abilities and interests.

Duties:
- Seeks research opportunities and funding support for programs.
- Prepares, assists, and provides guidance in the preparation of proposals, including budgets that meet University and funding agency requirements.
- Negotiates contracts and grants for assigned departments.
- Reviews contracts and grants received to assure conformance with negotiations.
- Monitors appropriate State and Federal compliance policies.
- Identifies University sponsored program needs and interests and maintains continuing liaison with administrators and faculty members.
- Prepares and participates in in-service training and professional development activities.

Qualifications: Candidates for the position must hold a Bachelor’s degree; Master’s degree preferred. A minimum of two years of experience in administration is required, preferably research and/or grant/contract funding administration. Proven success in writing grants a must. Performance marked by thoroughness and high accuracy, strong service orientation, expertise in the use of spreadsheets and word processing software; ability to work on multiple projects with minimal supervision in a time-sensitive environment; and ability to develop and maintain effective working relationships.

Salary: Salary is competitive and commensurate with experience and qualifications.
## Personnel Action Form

**HR Website:** [http://www.centralsate.edu/humanresources/index.php](http://www.centralsate.edu/humanresources/index.php)

### Section 1: Personal Actions

<table>
<thead>
<tr>
<th>Name (First, Middle, Last)</th>
<th>MALE</th>
<th>FEMALE</th>
<th>Social Security No.</th>
<th>Effective Date Start</th>
<th>Effective Date End</th>
</tr>
</thead>
</table>

### Section 2: Budget

<table>
<thead>
<tr>
<th>Position Number</th>
<th>Funding Source</th>
<th>Pay Frequency</th>
<th>Payroll</th>
<th>Pay Period Effective Dates</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section 3: Comments

- **Reason:** Review the Separation Process to ensure all required separation documentation is submitted to Human Resources.

### Section 4: Separation

- **Department/Project/College/Division:**
- **Account Number:**
- **Job Title:**

### Section 5: Leave

- **Last Day Worked:**
- **Expected Return Date:**
- **Actual Return Date:**
- **Early Return:**
- **Return on Time:**
- **Extension:**
- **Worker’s Comp.?**

### Section 6: Approval

1. **Direct/Dean:**
2. **Title Title:**
3. **Grants/Foundation:**
4. **Area Vice President/President:**
5. **Vice President Administration & Finance/GDO:**

### Signature

- **Temporary Employment:** Temporary employees may not work the full length of contract.

- **Signature Statement:** I have read and understand the signature statement regarding employment at Central State University.

   - **Employee Signature:**
   - **Date:**

---

**FIGURE 3**

The section numbers indicated under each selection are mandatory completion.
FACULTY EMPLOYEES:

The Appointee’s signature on this form and with the approval of the Board of Trustees will become a contract between you, the Appointee, and Central State University, Wilberforce, Ohio. The Appointee shall faithfully perform such teaching duties assigned to him by the Chairperson of each department of which Appointee is a member and such other duties as are usually generally associated with such responsibility as described in general in the Faculty Handbook. The applicable provision of the Ohio Revised Code, all applicable actions of the University’s Board of Trustee, Faculty Handbook, as amended, and AAUP contract are hereby made a part of and incorporated into this agreement by reference.

ADJUNCT EMPLOYEES:

The Appointee’s signature on this form and with the approval of the Board of Trustees will become a contract between you, the Appointee, and Central State University, Wilberforce, Ohio. The Appointee shall faithfully perform such teaching duties assigned to him by the Chairperson of each department of which Appointee is a member and such other duties as are usually generally associated with such responsibility as described in general in the Faculty Handbook. The applicable provision of the Ohio Revised Code, all applicable actions of the University’s Board of Trustee, Faculty Handbook, as amended, and AAUP contract are hereby made a part of and incorporated into this agreement by reference.

- Termination of Contract for Cause: Neither party shall have the right to terminate this agreement before the expiration of the term hereunder except for provisions and associated procedures stated in the Faculty Handbook and AAUP contract.
- This agreement is subject to adequate appropriation by the Ohio State Legislature.
- No more than eight (8) hours or two (2) courses will be assigned to adjuncts with other employment.
- Course assignments are contingent upon enrollment and subject to cancellation.
- Final payment is contingent upon timely submission of final grades.

GRANT-FUNDED EMPLOYEES:

Appointee’s signature on this form and with the consent of the Board of Trustee will become a contract between you (the Appointee) and Central State University, Wilberforce, Ohio. The Appointee agrees to perform faithfully the duties, as designated in the grant agreement to the best of Appointee’s ability and will advise the immediate supervisor of any activities in which Appointee may engage, that may affect Appointee’s employment relationship with the University and will not accept employment outside the University without prior written consent from the President. The pertinent provision of the Ohio Revised Code, Constitution, and actions of the Board of Trustee are hereby incorporated into this agreement by reference.

CLASSIFIED/UNCLASSIFIED EMPLOYEES:

The Appointee’s signature on this form and with the approval of the Board of Trustee will become a contract between you (the Appointee) and Central State University, Wilberforce, Ohio. This contract will be subject to all policies, rules, regulations, union contract (if applicable) and the availability of adequate funding. The Appointee shall have the right to terminate this agreement by submitting a written resignation to the President not less than thirty (30) days prior to its effective date; and the University may terminate this agreement prior to the expiration hereof on thirty (30) days notice to the Appointee or at any time for cause without notice. The University reserves the right and has the option to terminate this agreement if the Appointee becomes permanently disabled.

Employee

Date
CERTIFICATION AND APPROVAL FORM

STAFF SUPPLEMENTAL COMPENSATION FOR WORK WITHIN THE UNIVERSITY

Note: This form must be completed and attached to the Employee Action form.

For the Employee:

I hereby certify that during the course of activity, my assigned duties, responsibilities and professional development will not be adversely affected.

________________________  __________________________  __________
Signature - Employee         Printed Name - Employee             Date

For the Person Requesting Services:

I hereby certify that all terms of Policy 617, Staff Supplemental Compensation for Work within the University, have been met.

________________________  __________________________  __________
Signature - Approved        Print Name                        Date
Person requesting services   Person requesting services

________________________  __________________________  __________
Signature - Approved        Print Name                        Date
Employee’s direct supervisor Employee’s direct supervisor

________________________  __________________________  __________
Signature – Approved        Print Name                        Date
Employee’s division head    Employee’s division head

HR-01-2005-00
B. Compensation rates for faculty and staff are determined as follows:

1.) Faculty
   a.) Monthly rate for faculty members is calculated by dividing their annual salary by nine (9) months, i.e., annual salary of $45,000 \( \div 9 \) months for a monthly rate of $5,000.
   
   b.) Hourly rate is determined as follows: Monthly rate of $5,000 \( \times 12 \) months to yield 12 month salary of $60,000, then divide by 2080 hours ($5,000 \( \times 12 \div 2080 \) ) = $28.85 per hour.
   
   c.) Daily rate is determined by multiplying hourly rate by eight hours (8 hours \( \times 28.85 \) per hour = $230.80)

2.) Staff
   a.) Monthly rate is determined by dividing annual rate by 12 months.
   
   b.) Hourly rate for contract staff other than biweekly is determined by dividing annual salary by 2080 hours ($45,000 \( \div 2080 \) = $21.63 per hour).
   
   c.) Daily rate is determined by multiplying hourly rate by eight hours ($21.63 \( \times 8 \) hours = $173.04).

If an employee is hired in the middle of the month, the salary should be prorated as follows: Hourly rate \( \times 8 \) hours \( \times \) number of working days, including any paid holidays that will occur, for the balance of the month.

C. Compensation for current employees are structured as follows:

1.) Faculty members may earn up to 20% of base pay in supplemental status during the academic year.

2.) Contract staff may earn up to 15% in supplemental status during each fiscal year.

3.) Biweekly staff may earn overtime pay per month.

4.) Faculty members may also elect to use release time for research and other externally funded activities.

5.) Compensation outside the academic year for faculty members is currently limited to one-third (1/3) of base pay.
D. In order for employees to be paid at the end of any month through regular university payroll process, the payroll office must have a completely signed contract by the employee and CSU by the 15th of each month or the closest workday to the 15th. It is advisable for PI/PD’s to initiate their Employee Action Form on or before the 1st day of the expected pay month. Employees hired after the 15th day of any month will be paid in the following month. Employees that start between the 10th and 15th of the month should probably expect to be paid the following month unless special arrangements are made.

IV. Conflict of Interest Policy

The policy promotes objectivity in research and other sponsored activities by defining special standards of conduct appropriate for each faculty/staff member participating in a sponsored project. The intent is to ensure that the design, conduct, and reporting of the project are neither compromised nor appear to be compromised by any significant financial interest of the responsible faculty/staff members.

This policy applies to all faculty/staff members who apply for, receive, or who are currently working on a grant, contract, cooperative agreement, subgrant, subcontract, or sub-cooperative agreement which is funded in whole or in part by external funds. Faculty/staff members who apply for, receive, or are currently working on projects funded from non-federal external sources are strongly encouraged to comply with this policy and are required to file a Conflict of Interest Form with the Office of Sponsored Programs and Research (Figure 5). The Conflict of Interest Policy can be found at www.centralstate.edu.
CENTRAL STATE UNIVERSITY
Financial Conflict of Interest Screening/Disclosure Form
July 1, 2011 through June 30, 2012

Name: __________________________________________ Department/Unit: ____________________________
University Title: ___________________________ College: ____________________________________________
E-mail: __________________________________________

Do you hold a faculty/staff appointment at CSU?  Yes  No  If yes, to which campus are you assigned?  Main Campus  CSU Dayton Campus

This form must be completed annually and updated as necessary.  Please call ext. 6269 if you have questions.

Part I  - If you answer “yes” to any of these questions, continue to Parts II and III; if not, proceed to Part IV.

☐ Yes  ☐ No  1. Do you anticipate making application to an external sponsor or donor for funding during the next twelve months?
                                                                                          ☐ Yes  ☐ No  2. Do you currently serve as principal investigator for an externally sponsored research project of any kind?
                                                                                          ☐ Yes  ☐ No  3. Do you have a role in the design, conduct, or reporting of externally sponsored research?
                                                                                          ☐ Yes  ☐ No  4. Do you have significant involvement with and/or financial interest in an entity that does business with the University? (If “yes,” describe briefly in Part III.)
                                                                                          ☐ Yes  ☐ No  5. Do you, in a private capacity, provide training, advisory or outreach services to persons outside the university that are similar to services provided to such persons by your college? (If “yes,” describe briefly in Part III.)

Part II  - Please complete 2-1 through 2-14 if you answered “yes” to any question in Part I.  Attach additional pages as necessary.

[Note: Royalties from textbooks do not need to be disclosed.]

☐ Yes  ☐ No  2-1. Do you or a family member have an opportunity for financial gain from a company doing business in a subject area related to your Central State University employment?  If yes, describe the opportunity in Part III and answer the following questions:

Name of the company: ____________________________________________________________________

☐ Yes  ☐ No  Do you have an executive and managerial directorship role in this company?
☐ Yes  ☐ No  Do you have an ownership interest, including stock and stock options, in this company?
☐ Yes  ☐ No  Do you have a sponsored program agreement or do you receive gifts or donations from this company?

2-2. Income anticipated for the next twelve months (combined for investigator and family):

Type:   Salary   Consulting Fee   Honorarium   Dividends
Value:  Below $10,000   $10,000 - $50,000   Above $50,000

2-3. Equity (stock, options, real estate, other ownership) (combines for investigator and family):

% Ownership:  Below 5%   5% - 24%   25% - 50%   Above 50%  Sole Owner
$ Value:  Below $10,000   $10,000 - $100,000   Above $100,000
2-4. Does the entity hold intellectual property rights to any of your creative works:

- Patent  
- Copyright  
- Trademark  
- Other

2-5. Is the entity a licensee of a Central State Patent?  
- Yes  
- No

2-6. Will the entity do business with Central State University?  
- Yes  
- No

2-7. Does the entity do business with Central State University?  
- Yes  
- No

If yes, nature of business:

2-8. Will the entity commercialize, manufacture, or sell any process, device, drug, vaccine, or any product that is the subject of the project or will reasonably result from the project?  
- Yes  
- No

If yes, please explain:

☐Yes ☐No 2-9. Do you have other non-university professional or income-producing activities involving Central State University students, staff, or facilities? If yes, describe the activity in Part III.

☐Yes ☐No 2-10. Do you have an opportunity for financial gain from an entity that does business with Central State University? If yes, describe the opportunity for financial gain in Part III. Name of the company/entity:

☐Yes ☐No 2-11. Do you receive sponsored program funds, donations, or consulting fees from a company that has licensed technology held by Central State University, or licensed or transferred to you by the University, and from which you do or will receive royalties? Explain in Part III.

☐Yes ☐No 2-12. Do you or a member of your family have a personal financial interest in an activity in the same subject area as your Central State University appointment and/or sponsored program funding? Describe the financial interest and the relationship, if any, to your external funding in Part III.

☐Yes ☐No 2-13. Do you or any member of your family have any other relationships, commitments, or activities that might, in your good faith judgment, present or appear to present a financial conflict of interest with your Central State University obligations? Explain in Part III.

If you answered “yes” to any question(s) in Part II, please complete Part III. If not, proceed to Part IV.

Part III - Please describe the activities disclosed in Parts I or II. Attach additional pages or a letter if appropriate.
If a plan for management or elimination of potential conflict of interest exists for this activity, please describe below or attach a copy of the relevant documents.

Part IV - Affirmation

In submitting this form, I affirm that the above information is true and complete to the best of my knowledge; I accept responsibility for complying with the University policies on Financial Conflict of Interest and paid external consulting; and I assume responsibility for updating this disclosure as necessary.

Signature__________________________________________________________Date_____________

After signing, please forward the original form to the Director of the Office of Sponsored Programs and Research so that he or she may complete Part V.

Part V - Assessment by Director of the Office of Sponsored Programs and Research

I have reviewed the information provided and in my judgment:

a. _____ No conflict of interest exists.
b. _____ A conflict of interest may exist but does not appear to be significant.
c. _____ A conflict of interest may exist and a management plan should be drafted and reviewed regularly.
d. _____ A management plan is in place and reviewed regularly to ensure that the potential conflict of interest is eliminated, minimized, or managed.
e. _____ I recommend the following action: _________________________________________
________________________________________________________________________________
________________________________________________________________________________

_____________________________________________________________________
Signature of Director of the Office of Sponsored Programs and Research                  Date
V. Time and Effort Reports

Faculty and staff that work in a whole or part either directly on a project or when effort is being contributed as a match on external sponsored programs, are required to submit Time and Effort Report forms on a monthly basis. Time and effort forms are used to verify that work was done as promised to the sponsor. Central State University utilizes the after the fact activity report system as prescribed by OMB Circular A-21.

1) After-the-fact Activity Records: Under this system the distribution of salaries and wages by the institution will be supported by activity reports as prescribed below.

(a) Activity reports will reflect the distribution of activity expended by employees covered by the system.

(b) These reports will reflect an after-the-fact reporting of the percentage distribution of activity of employees. Charges may be made initially on the basis of estimates made before the services are performed, provided that such charges are promptly adjusted if significant differences are indicated by activity records.

(c) Reports will reasonably reflect the activities for which employees are compensated by the institution. To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.

(d) The system will reflect activity applicable to each sponsored agreement and to each category needed to identify F&A costs and the functions to which they are allocable.

(e) For professorial and professional staff, the reports will be prepared each academic term, but no less frequently than every six months. For other employees, unless alternate arrangements are agreed to, the reports will be prepared no less frequently than monthly and will coincide with one or more pay periods.

(f) Where the institution uses time cards or other forms of after-the-fact payroll documents as original documentation for payroll and payroll charges, such documents shall qualify as records for this purpose, provided that they meet the requirements in subsections (a) through (e).

2) All faculty and staff concerned will complete a faculty and staff Time and Effort Form (Figure 6). The report will be signed by the employee and the employee’s immediate supervisor. If the immediate supervisor is absent, the next highest supervisor in the department has the authority to certify the time.

All monthly reports should be forwarded to the Office of Sponsored Programs and
Research by the 10th of the month following the month being reported.
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*Please attach a copy of all approved leave slips and/or bi-weekly time cards.

Employee Signature: ___________________________ Date: ____________

I certify that this distribution of time and effort represents a reasonable estimate of the effort (time) expended by this employee during the period covered by this report.

Principal Investigator/Project Director/Supervisor: ___________________________ Date: ____________
VI. PURCHASING GOODS AND SERVICES

A. Care must be taken to ensure that goods and services are procured in a reasonable, allocable, and allowable manner per university and sponsor guidelines.

1.) Reasonable: Nature of goods or services acquired or applied, and the amount involved therefore, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.

2.) Allocable: A cost is allocable to a particular cost objective (i.e., a specific sponsored project, sponsored agreement, department, or the like), if the good or service involved are chargeable or assignable to such cost objective in accordance with relative benefits received or equitable relationship.

3.) Allowable: Costs that are deemed reasonable and allocable to a sponsored project that the sponsoring agency has authorized in writing that they may be charged to the project.

Projects that receive federal funding should use Office of Management and Budget Circular A-21 as the basis for determining allowability of costs; http://www.whitehouse.gov/omb/circulars/a021/a021.html

Federal agencies also have agency specific guidelines that govern the sponsored programs such as:

- NSF Grant Proposal Guide (National Science Foundation) http://nsf.gov/cgi-bin/getpub?gpg
- EDGAR – Education Department General Administrative Regulations (Programs specific guidelines also available) http://www.ed.gov/offices/OCFO/grants/edgar.html

The Office of Sponsored Programs and Research can provide assistance to PI/PD in interpreting and ensuring that procurements meet sponsor and university guidelines.

VII. PURCHASE REQUISITION

(Purchase requisitions are done online through the University financial system)

A. In completing the online CSU purchase requisition form, please note the following.
1.) Account Code: This is the account line from your project budget that the cost of the item to be procured should be charged to.

2.) Description: Insert a brief but adequate description of the good or service that you wish to procure so that an independent person can understand the purpose of the requisition.

3.) Copies of documentation such as quotations, item descriptions and/or pro-forma invoices, as necessary, should be attached to the electronic requisition.

4.) Subcontracts: If consultants or other individuals that are not CSU employees are to be utilized, a professional service agreement or subcontract should be attached to the requisition with the approval of Human Resources (Appendix 1).

a.) Professional service agreement should be used when:

1.) An independent contractor is engaged to perform a specified objective in a temporary or intermittent relationship. Also with an independent contractor the “end” but not the “means” is important.

2.) An independent contractor generally furnishes his/her own tools and equipment and whereas such items are generally provided for employees.

3.) An independent contractor generally offers to perform services for many entities and the general public.

b.) Professional service agreements will be signed on behalf of CSU by the Director of Business Services or Vice President for Administration and Chief Financial Officer or the President.

c.) When a sub-award is to be made to another organization the university sub-award will be negotiated by the Office of Sponsored Programs & Research (Appendix 2).

1.) If the organization wishes to modify the approved CSU sub-award, the university General Counsel must approve the changes.

d.) A detailed statement of work should be attached to the Professional Services Agreement which includes:
1.) Tasks for consultant.

2.) Period when work is to be performed.

3.) Fee to be paid.

4.) Other deliverables.

5.) Required reports and due dates, if any, to be submitted.

4.) PI/PDs should allow a minimum of two weeks in order to get a purchase order number.

5.) No purchases may be made on behalf of CSU without prior university authorization.


VIII. TRAVEL

A. All travel on externally sponsored programs must have prior approval by funding agency and Central State University before travel occurs.

B. Travel is authorized by CSU when an official Travel Requisition Form (Figure 7) has been reviewed and approved by CSU authorities. Travel Requisition Forms must be completed when an employee is on official university business even if there will not be any travel expenses paid by the university or sponsor.


D. Travel Expense Report (Figure 8) must be completed, including any receipts, by the traveler and approved by traveler’s supervisor before the university will reimburse the traveler for any out of pocket expenses.

E. In order to document and record trips on externally funded programs, it is recommended that PI/PDs and other project staff to complete a travel report form for out of state trips (Figure 9).
FIGURE 7

CENTRAL STATE UNIVERSITY
Travel Requisition/Campus Leave Form

DATE: ___________________________________________ Traveler: __________________________

DESTINATION: ____________________________________________

DEPARTURE FROM: ____________________________ A.M. ☐ P.M. ☐
(city) (date)

RETURN: ____________________________________________

PURPOSE OF TRAVEL: ____________________________________________

ACCOUNTING DATA

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SUGGESTED HOTEL INFORMATION

Name: ___________________________________________
Address: ___________________________________________
Phone: ___________________________________________

TYPE OF ROOM DESIRED

Single ☐ Double ☐

SPECIAL INSTRUCTIONS:

_________________________________________________

PLEASE SUBMIT AT LEAST TWO WEEKS IN ADVANCE OF TRAVEL REQUIRING AIR TRAVEL, AND ONE WEEK FOR OTHER TRAVEL. TRAVEL EXPENDITURES SHOULD NOT EXCEED ESTIMATED TOTAL AND/OR BUDGETED AMOUNT OF STATED TRIP, REASONABLE OVER EXPENDITURES MUST BE WELL DOCUMENTED.

FOR OFFICE USE ONLY

Traveler/Organization/Telephone # Date:

Organization Manager/Supervisor Date:

Area Manager Date:
### CENTRAL STATE UNIVERSITY
Travel Expense Report

<table>
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<tr>
<th>DESCRIPTION</th>
<th>Totals</th>
<th>Day #1</th>
<th>Day #2</th>
<th>Day #3</th>
<th>Day #4</th>
<th>Day #5</th>
<th>Day #6</th>
<th>Day #7</th>
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<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>Totals</th>
<th>Day #1</th>
<th>Day #2</th>
<th>Day #3</th>
<th>Day #4</th>
<th>Day #5</th>
<th>Day #6</th>
<th>Day #7</th>
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<tbody>
<tr>
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<td>POs - Checks Issued prior to travel &amp; Procard</td>
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<td>Amount Prepaid by CSU:</td>
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Please note: Morakinyo Kuti was to attend the 2011 Sungard Summit but was unavailable at the time of summit. Since hotel reservations were made then cancelled, the hotel charged a $30 cancellation fee. See attached documentation.

**Employee Name:** Morakinyo Kuti  
**Organization:** Office of Sponsored Programs and Research  
**Organization Fund No:** 8431  
**Date of Travel:** NA  
**Destination:** NA  
**Purpose of Travel:** NA  
**Amount Authorized:** NA

---

**Signature**:  
**Date**: 

**Approval**:  
**(Organization/Area Manager)**  
**Date**: 
This form is to be completed by CSU Staff and Faculty upon completion of travel on restricted funds. The form must be completed no later than 10 days following the end of travel, and will accompany the Travel Expense Report when submitted to the appropriate expense approving authority. One form may be submitted by a group leader for group travel. The form does not preclude the requirement to submit additional detailed travel reports to federal or state funding agencies.

I. TRAVEL PROFILE
* Name of Person(s) Traveling: ________________________________
* Date(s) of Travel: ________________________________
* Destination (City & State): ________________________________
* Purpose (Name of Event): ________________________________
* Sponsoring Agency: ________________________________
* Total Travel Cost $___________  FUND #_____  ORGN # ______

II. BACKGROUND ON THE EVENT ATTENDED

III. MAJOR OBJECTIVES ACCOMPLISHED

IV. FOLLOW-UP ACTIONS REQUIRED

V. INDICATE YOUR OVERALL EVALUATION OF THE MEETING
   □ Excellent     □ Good     □ Fair     □ Poor

Signature: ________________________________  Date: ____________________
Attachment(s) ________________________________
______________________________
IX. APPROVAL PROCESS

FLOWCHART FOR STRATEGIC POSITION REVIEW AND EMPLOYMENT REQUISITIONS

Hiring Manager/Principal Investigator or Project Director as requestor

Chair and Dean/Director

DIVISION APPROVAL

Vice President for Enrollment Management

Provost & Vice President for Academic Affairs

Vice President for Administration and Chief Financial Officer

President

DIVISION APPROVAL

Office of Sponsored Programs & Research

Vice President for Administration and Chief Financial Officer

President

Human Resources
FLOWCHART FOR PERSONNEL ACTION FORMS

Hiring Manager/Principal Investigator or Project Director as requestor

Chair and Dean/Director

Office of Sponsored Programs & Research

Vice President for Enrollment Management

Provost & Vice President for Academic Affairs

Vice President for Administration and Chief Financial Officer

President

CSU Budget Office

Human Resources

Vice President for Administration and Chief Financial Officer

President
FLOWCHART FOR PURCHASE AND TRAVEL REQUISITIONS ON EXTERNALLY FUNDED PROGRAMS

Principal investigator/Project Director

Organization Manager/Department Chair → Title III Director

Dean

Office of Sponsored Programs and Research (Check for funding/allowability/compliance With CSU and agency regulations)

CSU Budget Director

Vice President for Enrollment Management → Provost & Vice President for Academic Affairs

Vice President for Administration and Chief Financial Officer

President

Business Services
X. TECHNICAL PROJECT MANAGEMENT

A. Operational Management

The main guides for operations management of projects should be activities that lead to the accomplishment of the goals, objectives, and other deliverables that were proposed to the sponsor in securing funding. Individual projects will differ on the goals, objectives, and other deliverables to be achieved; however, there are general factors that may be used by PI/PDs in managing their project such as:

1.) A well defined implementation schedule (timeline).
2.) Qualitative and quantitative measures of program’s targets.
3.) Evaluation measures.
4.) Monitoring of the project budget.

Implementation Schedule (Timeline): A schedule is the most basic and essential management tool. It enables you to match activities with target dates. The implementation schedule will also alert PI/PDs to the progress or lack of progress which is essential since sponsored activities are time sensitive.

Qualitative and Quantitative of Measures: Specific numerical measurement yardsticks of the projects goals and objectives such as recruitment of participants, publications disseminated, and research activities implemented.

Evaluation Measures: A method of evaluation should be integrated in the design/development phase of each project that will enable the PI/PD to not only evaluate the eventual outcome of the project but also the processes of the ongoing project. Process evaluation will enable the PI/PD initiate modifications to the project design on an ongoing basis as needed.

Project Budget: The project budget is also an essential tool of management that may reflect the rate of activity in the project. Tracking of the budget enables the PI/PD to monitor if the funds are being expended per program guidelines and also to compare the rate of activity and expenditures. Figure 10 shows a sample budget tracking spreadsheet that may be used in conjunction with BANNER. BANNER is CSU’s official financial system; however, it is advisable for PI/PDs to track their budget independently so that it reflects not only their expenditures and encumbrances but also their planned expenses.
Budget Amount: Planned project expenses.

Encumbrances: Amount obligated to vendors but not yet expended.

Expenses: Amount expended.

Planned Expenditures: Project expenses yet to be submitted through university financial system.

Electronic version of this spreadsheet is available from the Office of Sponsored Programs and Research.
## FIGURE 10

### CENTER ON ALCOHOL PREVENTION - 9660

**AVAILABLE BALANCE AS OF AUGUST 29, 2001**

<table>
<thead>
<tr>
<th>Category</th>
<th>Budgeted Amount</th>
<th>Encumbrances</th>
<th>Expenditure</th>
<th>Planned Expenditures</th>
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<td>Lettering Experts</td>
<td>$0.00</td>
<td>($36.32)</td>
<td>$0.00</td>
<td>($36.32)</td>
<td>($36.32)</td>
</tr>
<tr>
<td>Postage</td>
<td>$0.00</td>
<td>($485.00)</td>
<td>$0.00</td>
<td>($485.00)</td>
<td>($485.00)</td>
</tr>
<tr>
<td>ADT Security</td>
<td>($720.00)</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>($720.00)</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td>$2,463,400.00</td>
<td>($2,073,293.68)</td>
<td>$0.00</td>
<td>$0.00</td>
<td>($1,877.85)</td>
</tr>
</tbody>
</table>

**Grand Total** $2,463,400.00 ($2,073,293.68) $0.00 $158,654.14
The following books may be used as reference in project management.

*Project Management: A Systems Approach to Planning, Scheduling and Controlling.* Harold Kerzner, Ph.D.
  John Wiley & Sons, 2000

*The Project Manager’s Desk Reference.* James P. Lewis

  John Wiley & Sons, 2005

B. Reporting Requirements on Sponsored Projects

The end product or deliverables of almost every research project is, at a minimum, the final technical report. In addition, the sponsor may have additional reporting requirements (such as monthly, quarterly or annual reporting of technical progress; patent reports; fiscal reports; etc.) throughout the course of the project. The fiscal reporting is done by Office of Sponsored Programs and Research.

It is the PI’s responsibility to ensure that required technical progress reports are submitted to the sponsor on time. Often, such reports are required before sponsors will release continuation funding. Sponsors have a wide range of formats in which they require technical reports to be submitted. For example, the NIH, U.S. Department of Education, and Department of Health and Human Services require a non-competitive continuation proposal that includes a progress report each year. The proposal must be submitted through the Office of Sponsored Programs and Research and signed by an institutional official. National Science Foundation (NSF), on the other hand, requires that the PI submit progress reports through Fastlane directly to NSF, with no role for the Office of Sponsored Programs and Research in the process.

Final technical reports are normally submitted by the PI directly to the sponsor. However, we ask that a copy of the transmittal letter and the report be sent to the Office of Sponsored Programs and Research. They will then be on file and the Office of Sponsored Programs and Research will be better prepared to respond to sponsor inquiries.

C. Closeout

The university is expected to submit all final financial, programmatic and other reports, such as property and inventions, within 90 days after the end of the funding period. While closeout requirements are generally identical across external funding sources, the specific type of closeout procedures will differ according to the specific award. Prior to beginning closeout procedures, PI and PD should consult the appropriate program regulations governing their respective awards to assure that all reporting requirements will be met.
PI/PDs have an important role in this process. While costs should be posted to the project on an on-going basis, it is important that, a few weeks before the project ends, the PI/PDs assures that:

- Sponsor and cost-shared expenditures have been documented.
- Time and effort certifications have been completed and submitted.
- All personnel transactions have been completed.

All obligations associated with the project must be met within 90 days after the end of the period to correspond with the submission of the final financial reports. Accordingly, invoices from vendors, payments to consultants, and wage payments to staff involved in preparing final documents are all matters that should be resolved by the 90-day deadline.

D. Equipment

Perhaps the single most important issue to address with regard to closeout requirements for a specific award is that of disposition of equipment acquired either as government-furnished equipment (GFE) or recipient-acquired equipment. Most CSU grants and contracts usually have CSU acquiring the equipment and the titles vest with CSU. Please contact the OSP&R for advice on equipment closeout procedures on individual projects.

E. Supplies

CSU is required to reimburse the federal government for any inventory of unused supplies that exceed $5,000.

F. Program Income

Program income acquired during the life of an award must be reported to the sponsoring agency depending on the treatment method negotiated with the funding source. Once the final financial report has been submitted, any further program income belongs to CSU.

G. Record Retention

PI/PDs are required to keep all financial records, supporting documents, statistical records and all other records pertinent to an award for a period of three years from the date of submission of final report or for awards that are renewed quarterly or annually from the date of submission of the quarterly or annual financial report as authorized by the funding agency.

Items usually required before a project can be closed include:

- Final Technical Report: This report, prepared by the PI, describes the technical results of the research effort.
• Final Invention Statement: The PI is responsible for disclosing to the sponsor any intellectual property, copyrights, and licenses resulting from the research effort. Some sponsors require a “negative” report if there are no disclosures.

• Final Fiscal Report: If a final report of project expenditures is required, the Office of Sponsored Programs and Research will prepare and submit the report to the sponsor. The Office of Sponsored Programs and Research will prepare and submit the report to the sponsors with PI input.

• Final Property Report: If a final report of property acquired with project funds is required, the Office of Sponsored Programs and Research will complete and submit the report to the sponsor.
Whether a worker is classified as an employee or an independent contractor hinges on the common law definition of “employment.” Making this determination can require a difficult factual analysis in which common law principles, case law, and rulings must be considered. The IRS has provided some guidance by listing twenty (20) factors used in determining independent contractor status. This checklist can be used to assess the applicable factors in your situation:

<table>
<thead>
<tr>
<th>Description</th>
<th>Employee</th>
<th>Independent Contractor</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Instructions</strong> - A worker who is required to comply with another person’s instructions about when, where, and how he or she is to work ordinarily is an employee.</td>
<td>_________</td>
<td>_________</td>
</tr>
<tr>
<td>2. <strong>Training</strong> – Required a worker to attend meetings, work with a more experienced worker, or otherwise perform in a particular manner of method indicates employee status.</td>
<td>_________</td>
<td>_________</td>
</tr>
<tr>
<td>3. <strong>Integration</strong> - The degree to which a business depends on the worker’s services tends to indicate employee status.</td>
<td>_________</td>
<td>_________</td>
</tr>
<tr>
<td>4. <strong>Services rendered personally</strong> - If services must be rendered personally, employee status is indicated.</td>
<td>_________</td>
<td>_________</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>5. <strong>Hiring, supervising, and paying assistants</strong></td>
<td>If services can be delegated or subcontracted at the worker’s election, with that worker paying for such help, then independent contractor status indicated.</td>
<td></td>
</tr>
<tr>
<td>6. <strong>Continuing relationship – A continuing relationship</strong>, even one which is recurring at irregular intervals, indicates employee status.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. <strong>Set hours of work</strong></td>
<td>The establishment of set hours of work by the person for whom the work performed shows control (employee status).</td>
<td></td>
</tr>
<tr>
<td>8. <strong>Full time required</strong></td>
<td>If a worker is required to devote substantially full time to the business and there is an implicit or explicit restriction on doing other gainful work, employee status is indicated.</td>
<td></td>
</tr>
<tr>
<td>9. <strong>Doing work on employer’s premises</strong></td>
<td>If work is performed, this suggests control over the worker, especially if such work could be performed elsewhere.</td>
<td></td>
</tr>
<tr>
<td>10. <strong>Order or sequence set</strong></td>
<td>If the worker must perform services in the order set by the person for whom the services are performed, this indicates employee status.</td>
<td></td>
</tr>
<tr>
<td>11. <strong>Oral or written reports</strong></td>
<td>A requirement that the worker submit regular reports to the person for whom services are performed indicates employee status.</td>
<td></td>
</tr>
<tr>
<td>12. <strong>Payment method</strong></td>
<td>An employee usually is paid by the hour, week, or month, while the independent contractor is paid by the job.</td>
<td></td>
</tr>
<tr>
<td>13. <strong>Furnishing of tools and materials</strong></td>
<td>The furnishing of significant tools, materials, or other equipment by the user indicates employee status.</td>
<td></td>
</tr>
</tbody>
</table>
14. **Significant investment** - The lack of investment in facilities indicates dependence on the person for whom services are performed, employee status.

15. **Realization of profit or loss** - A worker who can realize profit or suffer a loss as a result of his or her services generally is an independent contractor, a worker who cannot do so is an employee.

16. **Working for more than one firm at a time** - If a worker performs more than de minimis services for a number of persons at the same time this indicates independent contractor status.

17. **Making service available to general public** - An independent contractor generally makes his or her services available to the general public.

18. **Right to discharge** - The right to discharge a worker indicates employee status; an independent contractor’s termination depends upon contractual terms.

19. **Right to terminate** - If a worker has the right to end his or her relationship at any time, this indicates employee status; an independent contractor is contractually bound to complete an assignment.

20. **Payment of business expenses** - The payment of the worker’s business and traveling expenses indicates employee status.

---

**Total Employee:** ____

**Total Independent Contractor:** ____

**Assessment:** Employee ____ Independent Contractor ____
CONSULTING AGREEMENT

This Agreement made as of this __________ day of __________, 20___, by and between Central State University (University) and ______________________(Consultant).

WHEREAS, the University is desirous of obtaining services of the Consultant;

WHEREAS, the Consultant represents that Consultant has the knowledge, skill and ability to perform services for the University;

NOW THEREFORE, the parties hereto, intending to be legally bound, covenant and agree as follows:

1. The Consultant is hereby retained by the University and agrees to perform the services described below (Services) (attach additional sheets, if necessary):

2. The Consultant agrees to perform the Services to the satisfaction of the University during the term of this Agreement.

3. The University agrees to pay the Consultant a fee of __________ for such Services. The fee will be payable (describe frequency and amount of payments - fee can be stated as “not to exceed”) within __________ days after the receipt of the Consultant’s invoice. The University, in its sole discretion, shall pay reasonable and necessary expenses incurred by the Consultant in performance of Services within __________ days after receipt of the Consultant’s invoice supported by documentation satisfactory to the University.

4. The Consultant agrees that the University will not deduct income or Social Security tax on any payments to the Consultant hereunder. The Consultant further agrees that the Consultant is solely responsible for payment of any such taxes due to the proper taxing authorities.

5. The Consultant understands that the Consultant’s status hereunder is that of independent contractor. The Consultant is not an employee of the University in the performance of Services and is not entitled to any employee benefits, statutory or otherwise, including, but not limited to, workers’ compensation or unemployment compensation.

6. The Consultant agrees to keep confidential and not to disclose to third parties any information provided by the University pursuant to this Agreement unless the Consultant has received prior written consent of the University to make such
disclosure. This obligation of confidentiality does not extend to any information that:

(a) was in the possession of the Consultant at the time of disclosure by the University, directly or indirectly;

(b) is or shall become, through no fault of the Consultant, available to the general public, or

(c) is independently developed and hereafter supplied to the Consultant by a third party without restriction or disclosure.

7. The Consultant agrees that any computer programs, software, documentation, copyrightable work, discoveries, inventions, or improvements developed by the Consultant solely, or with others, resulting from any performance of Services pursuant to this Agreement are the property of the University and the Consultant agrees to assign all rights therein to the University. The Consultant further agrees to provide the University with any assistance, which the University may require to obtain patents or copyright registrations, including the execution of any documents submitted by the University.

8. The Consultant agrees that the obligations of Sections 7 and 11 hereof will survive the termination of this Agreement.

9. In the performance of Services, the Consultant agrees that the Consultant shall not have the authority to enter into any contract or agreement to bind the University and shall not represent to anyone that the Consultant has such authority.

10. The Consultant represents and warrants to the University that in performing services the Consultant will not be in breach of any agreement with a third party.

11. The Consultant agrees that any personal injury to the Consultant or third parties or any property damage incurred in the course of performance of Services shall be the responsibility of the Consultant. The Consultant will indemnify, defend and hold the University harmless from any claims, demands, lawsuits, or award of damages arising out of the Consultant’s performance of Services, except to the extent such are caused by the sole fault or negligence of the University.

12. The Consultant may not assign the rights or obligations under this Agreement without the University’s prior written consent.

13. This Agreement contains the entire understanding with respect to the subject matter hereof and may not be amended except by a written agreement
executed by the Consultant and an appropriate representative of the University.

14. The term of this Agreement shall commence on ________________, 20___, and continue until ________________, 20___. It may be extended beyond such date if the University agrees to the extension in writing.

15. If the Consultant becomes insolvent or files a petition in bankruptcy, or if the University determines that it is not in its best interest to continue this Agreement, the University may terminate this Agreement.

16. This Agreement shall be governed by the laws of the State of Ohio.

CONSULTANT: ____________________________  CENTRAL STATE UNIVERSITY: ____________________________

______________________________  ________________________________
Print Name                  Date                               Print Name                  Date

Services are to be charged to Account Number(s): ____________________________
## CENTRAL STATE UNIVERSITY
### SUBAWARD AGREEMENT

<table>
<thead>
<tr>
<th>CSU Subaward No.:</th>
<th>CSU P.O. No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institution/Organization</td>
<td>Institution/Organization (&quot;SUBRECIPIENT&quot;)</td>
</tr>
<tr>
<td>Central State University</td>
<td></td>
</tr>
<tr>
<td>Office of Sponsored Programs and Research</td>
<td></td>
</tr>
<tr>
<td>P.O. Box 1004</td>
<td></td>
</tr>
<tr>
<td>Wilberforce, OH 45384-1004</td>
<td></td>
</tr>
<tr>
<td>EIN No.: 31-0675386</td>
<td>EIN No.:</td>
</tr>
<tr>
<td>Prime Awarding Agency:</td>
<td>CFDA No.:</td>
</tr>
<tr>
<td>Prime Award No.:</td>
<td>Subcontract Period:</td>
</tr>
<tr>
<td>Amount Funded This Action:</td>
<td>Cost Sharing This Action:</td>
</tr>
<tr>
<td>Cost Reimbursable: ☐ Fixed Price: ☐ Other: ☐ (see attachment )</td>
<td></td>
</tr>
<tr>
<td>Award Project Title:</td>
<td></td>
</tr>
</tbody>
</table>

### TERMS AND CONDITIONS

1. **PAYMENT:** In consideration of the performance of the scope of work by the SUBRECIPIENT, payment will be made upon submission of an acceptable invoice. **PAYMENT:** In consideration of the performance of the scope of work by SUBRECIPIENT, CENTRAL STATE UNIVERSITY will reimburse SUBRECIPIENT for costs incurred. SUBRECIPIENT shall submit monthly invoices in sufficient detail to indicate clearly the nature of expenses.

   Invoices shall reference the following information:
   
   a) CSU Purchase Order Number
   b) CSU Subaward Number
   c) SUBRECIPIENT’s mailing address
   d) Invoice Number and date
   e) Invoice Period
   f) Current invoice amount broken down by line item according to awarded budget
   g) Cumulative expense amount by line item according to awarded budget.
   h) Current and Cumulative Cost Sharing. (if applicable)

   Each invoice must be signed by an authorized financial official certifying that expenses are accurate and allowable to the best of their knowledge.

   SUBRECIPIENT’s final invoice must be received within **forty-five (45)** days after the period of performance has ended and must be identified as "FINAL."

2. **TECHNICAL MONITORING:** The terms of this subcontract are intended to provide the SUBRECIPIENT the maximum scientific freedom and administrative flexibility consistent with the overall objectives of the research and the applicable terms and conditions of agreement under which this subcontract is issued. The progress of this research will be under the technical direction of CENTRAL STATE UNIVERSITY’s principal investigator.

3. **TECHNICAL REPORTS:** The SUBRECIPIENT shall provide periodic technical progress reports as requested. A final technical report summarizing the results of the effort shall be submitted to CENTRAL STATE UNIVERSITY’s principal investigator within 45 days after subcontract end.

4. **CONTACTS:** Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subcontract should be directed to the appropriate party’s Administrative Contact, as shown below. Any such changes made to this subcontract require written approval of each party’s Authorized Official, as shown below. Any matters concerning payments should be directed to the Principal Investigator, as shown below.

5. **EXTENSIONS:** No-cost extensions require approval of CENTRAL STATE UNIVERSITY. Any request for a no-cost extension should be addressed to and received by the Administrative Contact, as shown below, not less than sixty (60) days prior to the desired effective date of the requested change.

6. **GOVERNING LAW:** The validity, construction, and effect of this Agreement shall be governed by the laws of the State of Ohio.

7. **NOTICES:** All notices/correspondences should be sent to Administrators on the Contact List.
## CONTACT LIST

### Central State University Administrator:
- **Name:** Morakinyo Kuti, Director  
- **Address:** Central State University  
  Office of Sponsored Programs and Research  
  P.O. Box 1004  
  Wilberforce, OH 45384-1004  
- **Email:** mkuti@centralstate.edu  
- **Telephone No.:** 937.376.6547  
- **Fax No.:** 937.376.6598

### SUBRECIPIENT Administrator:
- **Name:**  
- **Address:**

### Central State University Fiscal Officer:
- **Name:** Tina Castonguay  
- **Address:** Central State University  
  Office of Sponsored Programs and Research  
  P.O. Box 1004  
  Wilberforce, OH 45384-1004  
- **Email:** tcastonguay@centralstate.edu  
- **Telephone No.:** 937.376.6269  
- **Fax No.:** 937.376.6598

### SUBRECIPIENT Fiscal Officer:
- **Name:**  
- **Address:**

### Send Invoices To:
- **Central State University**  
  Office of Sponsored Programs and Research  
  P.O. Box 1004  
  Wilberforce, OH 45384-1004

### Remittance Address:
- **Central State University**  
  Office of Sponsored Programs and Research  
  P.O. Box 1004  
  Wilberforce, OH 45384-1004

### Central State University Principal Investigator:
- **Name:**  
- **Address:**

### SUBRECIPIENT Principal Investigator:
- **Name:**  
- **Address:**

### Incorporation:
The following documents are incorporated into this subcontract:
- □ Prime Contract Attachment A
- □ Statement of Work Attachment B
- □ Estimated Budget Attachment C
- □ Standard Terms and Conditions Attachment D
- □ Modification to Standard Terms and Conditions Attachment D
- □ Certification and Assurances Attachment E

### IN WITNESS WHEREOF,
- The parties hereto represented by Officials authorized to bind them have executed this Agreement as of the day and year first written.

### CENTRAL STATE UNIVERSITY
- **By:** ______________________________  
  **Name:** ____________________________  
  **Title:** _____________________________  
  **Date:** _____________________________

### SUBRECIPIENT
- **By:** ______________________________  
  **Name:** ____________________________  
  **Title:** _____________________________  
  **Date:** _____________________________
**ATTACHMENT D**  
**CENTRAL STATE UNIVERSITY**  
**STANDARD TERMS AND CONDITIONS**

**1. AUDIT OF BOOKS:** This subcontract is subject to the provisions of the Single Audit Act of 1984, P.L. 98-502, as implemented by OMB Circular A-133,” Audits of Institutions of Higher Education and Other Non-profit Institutions.”

By signature to this agreement, SUBRECIPIENT certifies that it has met the audit requirements of OMB Circular A-133 or equivalent Federal Financial Compliance Audit, if applicable, and shall furnish a copy of such audit report to CENTRAL STATE UNIVERSITY within thirty (30) days of completion of said audit. The SUBRECIPIENT further certifies that, in instances of non-compliance with Federal Laws and regulations, appropriate corrective action will be taken. SUBRECIPIENT agrees to notify CENTRAL STATE UNIVERSITY of the corrective actions within six (6) months of furnishing the audit report to CENTRAL STATE UNIVERSITY. Audit reports should be submitted to Central State University, Office of Sponsored Programs and Research, P.O. Box 1004, Wilberforce, OH 45384-1004.

Notwithstanding any other conditions of this Agreement, the books and records of the SUBRECIPIENT hereunder will be made available for inspection by CENTRAL STATE UNIVERSITY, the Federal sponsoring agency, U.S. Comptroller General, CENTRAL STATE UNIVERSITY’s Federal Cognizant Audit Agency, or any of their duly authorized representatives during SUBRECIPIENT’s normal business hours.

**2. COST PRINCIPLES & ALLOWABLE COSTS:** The cost principles of Office of Management & Budget 2 CFR 220 (OMB Circular A-21) are applicable to this Agreement. In the event any payments to the SUBRECIPIENT are subsequently disallowed by the prime sponsor as items of cost, the SUBRECIPIENT shall repay CENTRAL STATE UNIVERSITY on demand the amount of any such disallowed items or, at the discretion of CENTRAL STATE UNIVERSITY, CENTRAL STATE UNIVERSITY may deduct such amount from subsequent payments. However, without prejudice, the SUBRECIPIENT has the right to establish the allowability of any such item of cost previously disallowed.

**3. EQUIPMENT TITLE:** Title to any budgeted and approved equipment purchased by SUBRECIPIENT shall vest in SUBRECIPIENT subject to any subsequent disposition instructions by the prime sponsor. Unbudgeted equipment requires prior written approval by CENTRAL STATE UNIVERSITY.

**4. PATENTS & COPYRIGHTS:** SUBRECIPIENT agrees that, if, during the period of this Agreement, any of its employees shall make an invention or work of authorship in performance of this project, SUBRECIPIENT shall promptly make such invention or work known to CENTRAL STATE UNIVERSITY. All patents and copyrights shall be in accordance with Public Law 98-620 and implementing regulations under 37 CFR 401, "Rights To Inventions Made By Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements," and any implementing regulations issued by the awarding agency.

Each party grants to the other party a non-exclusive, royalty-free license to use the results and data developed solely by each other provided that each party uses such results and data only for its own internal research and educational purposes. The parties agree to negotiate in good faith in the event that either requests a license for commercial purposes.

**5. STANDARDS OF WORK:** In performing services under this agreement, the SUBRECIPIENT is an independent contractor and nothing herein is to be construed as establishing an employer-employee relationship. The SUBRECIPIENT agrees that all work will be performed in accordance with the highest professional standards. SUBRECIPIENT shall also comply with all federal and state laws and prime sponsor requirements governing conduct of research.

**6. DATA RIGHTS:** The SUBRECIPIENT grants to CENTRAL STATE UNIVERSITY the right to use data created in the performance of the subcontract solely for the purpose of and only to the extent required to meet CENTRAL STATE UNIVERSITY’s obligations to the PRIME SPONSOR.

**7. HIPAA:** The SUBRECIPIENT WILL COMPLY WITH ALL Health Insurance Portability and Accountability Act (HIPAA) Regulation as applicable.

**8. USE OF NAMES:** The SUBRECIPIENT shall not use, either directly or indirectly, the name of CENTRAL STATE UNIVERSITY, or the name of any members of the staffs thereof, or any unpublished information or data relating to this program in any publicity or advertising unless copy is submitted and written approval of CENTRAL STATE UNIVERSITY is obtained in advance.

**9. BREACH OF CONTRACT:** In the event of violation or breach of contract terms, both parties will make a good faith effort to take necessary remedial actions to correct said breach. However, nothing in this agreement shall constitute a waiver by CENTRAL STATE UNIVERSITY of any rights to pursue any necessary administrative, contractual, or legal remedies in instances in which the SUBRECIPIENT violates or breaches contract terms.

**10. EQUAL OPPORTUNITY:** This Agreement is subject to the provisions of the Single Audit Act of 1984, P.L. 98-502, as implemented by OMB Circular A-133, title 26, subtitle D, section 133, Audits of Institutions of Higher Education and Other Non-profit Institutions.

**11. TERMINATION:** Either party may terminate this Agreement for any reason, including circumstances beyond the control of either Party, upon thirty (30) days’ advance written notice. Upon such termination, CENTRAL STATE UNIVERSITY agrees to pay all costs incurred (including non-cancelable commitments incurred by SUBRECIPIENT) at the time of termination. Notwithstanding the above, CENTRAL STATE UNIVERSITY may terminate the Agreement immediately upon default by SUBRECIPIENT.

**12. PROVISIONS IN CORPORATION BY REFERENCE:** The Federal Acquisition Regulations (FAR) reference in the prime contract are incorporated by reference.

This agreement constitutes the entire agreement between the parties hereof with respect to the subject matter hereof. However, any additional provisions of the prime agreement identified in the header and preamble of this SUBCONTRACT, which are required to be included under this subcontract agreement, are hereby incorporated by reference.

**13. ORDER OF PRECEDENCE:**

a) Terms and Conditions of the Prime Award  
b) Subcontract including any Special Terms and Conditions and modifications  
c) Standard Terms and Conditions  
d) Proposal or Statement Of Work, and approved budget incorporated into the Subcontract  

**14. EXPORT CONTROL:** The SUBRECIPIENT by signing this SUBCONTRACT agrees to comply with any and all applicable export control laws and regulations.
ATTACHMENT E
CENTRAL STATE UNIVERSITY
CERTIFICATION AND ASSURANCES

1. CERTIFICATE OF DEBARMENT AND SUSPENSION: The SUBRECIPIENT certifies by signature to this agreement that it is not suspended, debarred, or ineligible from entering into contracts with any department or other agency of the Federal Government, or in receipt of a notice of proposed debarment or suspension.

The SUBRECIPIENT shall provide immediate notice to CENTRAL STATE UNIVERSITY in the event of being suspended, debarred, or declared ineligible by any department or other agency of the Federal Government, or upon notice of a proposed debarment or suspension, either prior to or after execution of this agreement.

The SUBRECIPIENT agrees to secure from its SUBRECIPIENTs or participants in transactions expected to equal or exceed the small purchase threshold, certification that such participants are not suspended, debarred, or declared ineligible from entering into contracts with any department or agency of the Federal Government, or in receipt of a notice of proposed debarment or suspension.

2. DRUG FREE WORKPLACE: By signature to this agreement, SUBRECIPIENT certifies that it will comply with the Drug Free Work Place Act of 1988 and its implementing regulations as amended.

3. CERTIFICATION REGARDING LOBBYING: In the event funds allotted under this subcontract are expected to exceed $100,000, by signature to this agreement, SUBRECIPIENT certifies that it is in compliance with the requirements of Section 1352, Title 31, U.S. Code which limits the use of appropriated funds to influence certain federal contracting and financial transactions.

4. CERTIFICATION REGARDING MISCONDUCT IN SCIENCE: By signature to this agreement, SUBRECIPIENT certifies that it has established administrative policies as required by the Final Rule (42 CFR Part 93, Subpart A), and that it will comply with those policies and the requirements of the Final Rule regarding Procedures for Dealing with and Reporting Possible Misconduct in Science.

5. CLEAN AIR ACT (applicable to contracts in excess of $100,000): By signature to this agreement, SUBRECIPIENT certifies that it is in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970 and the Federal Water Pollution Control Act as amended. Violations shall be reported to the Federal sponsoring agency and the regional office of the U.S. Environmental Protection Agency.

6. CONFLICT OF INTEREST: The SUBRECIPIENT certifies by signature to this Agreement that it has a federally compliant conflict of interest policy.

7. RESEARCH COMPLIANCE: The SUBRECIPIENT certifies by signature to this Agreement that the research project will comply with all Research Compliance and obtain all necessary approvals for Human Subjects, Vertebrate Animals, Recombinant DNA and any other areas that require protocol review.

8. TERRORIST EXCLUSION LIST: SUBRECIPIENT hereby represents and warrants to University that it has not provided any material assistance, as that term is defined in O.R. C. §2909.33(C), to any organization identified by and included on the United States Department of State Terrorist Exclusion List and that it has truthfully answered “no” to every question on the “Declaration Regarding material Assistance/Non-assistance to a Terrorist Organization.” SUBRECIPIENT further represents and warrants that it has provided or will provide such to University prior to execution of this Agreement. If these representations and warranties are found to be false, this Agreement is void ad initio and SUBRECIPIENT shall immediately repay to University any funds paid under this Agreement.