PRE-AWARD ACTIVITIES AND POST-AWARD MANAGEMENT ON EXTERNALLY FUNDED PROGRAMS

Office of Sponsored Programs and Research

Revised August 2006
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. In recent years, there has been a shift toward contracts as the primary mechanism for channeling support from these agents to universities. This reflects the supporting agencies increasing focus on demonstrating positive and tangible results deriving from the activities they are funding. The contracted project arena is generally much more competitive than the grants arena and the requirements for performance are more stringent. Since the trend toward an increasing focus on contracts as a major avenue for making funding available to universities is likely to continue, it is important that the university position itself to capture and successfully implement a fair share of the contracted projects as well as those resulting from grants.

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 database; grants.gov. 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.
- Include a profile data form in orientation packages for new faculty and staff.
- Develop a capability handbook for Central State University.

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 distribution of bi-annual newsletter on proposal submissions, awards and other funding related topics.
• Distribute daily 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 proposal preparation guide.
• Develop and distribute 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 P.I.

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 P.I. in the managing of 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.
- Upon notification from PI, developing, negotiating and administering all subcontracts.
- Provide contractual guidance (interpreting the sponsor’s regulations and guidelines).
- Coordinating 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.

The Office of Sponsored Programs & Research is capable of assisting in the administration of grant/award/contract 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 Office 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 five (5) 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**

- **Mr. Morakinyo A.O. Kuti**
  - Director
- **Mr. Clark Fuller**
  - Associate Director
- **Mrs. Tina Castonguay**
  - Grants Manager
- **Ms. Susan Wachtel**
  - Grants Writer
- **Mrs. Joanne Phoenix**
  - Administrative Coordinator

**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/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
  - National Endowment for the Humanities.
  - National Science Foundation.
  - U.S. Department of Labor.
  - U.S. Department of Health and Human Services.
  - U.S. Department of Education.
  - U.S. Small Business Administration.
- Ohio Board of Regents.
- Private Foundations and Industry.

**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).
- Institutional Review Board.
- Manages information dissemination efforts (workshops, funding searches).
- Manages technology transfer and business development activities and projects.
- Responsible for institutional compliance issues involving animal use, human subjects and biology hazards.
- 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 Challenge, Technology Action Fund, Hayes Investment Fund, etc.

**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
• Approves expenditures and rate of expenditures.
• Prepares financial reports.
- Prepares subcontracts.
- Prepares no-cost extensions.
- Assist in 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

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 Program Bi-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 through review.
- Archive and collect reviewer’s comments for prior proposals.
- Coordinates post award contract compliance and technical reports to funding sources.

Focus Areas for Joanne Phoenix, 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.

**FEDIX and MOLIS** are additional important OSP&R resources that are accessible only through the Internet (or a modem-equipped PC with special software). FEDIX (Federal Information Exchange) provides summaries of information on current solicitations for a wide range of federal agencies (DOD, DOE, NASA, HUD, HHS, etc.), with some degree of disaggregation; for example, to facilitate identifying those procurements targeted specifically for minority institutions or businesses. MOLIS (Minority On-Line Information Service) provides detailed and current information on the research capabilities and interests of other minority institutions. This is extremely useful in identifying the appropriate partners and linkages for responding to certain procurements, and also provides an avenue for evaluating the competition (an important input for proposal planning and preparation). To access FEDIX and MOLIS, go to [www.sciencewise.com](http://www.sciencewise.com).

**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 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 Vice President for Academic Affairs, and the President. The appropriate staff in the Office of the Vice President for Administration and Finance 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?

8. Do we know who the competition is and what their approaches are likely to be?

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

10. 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?

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

12. 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 makes 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).


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 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 record of university proposal activity is maintained. A copy will be forwarded to the PI for future reference.

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 of 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 Associate Vice President for Administration and Finance for review and to the Provost/Vice President for Academic Affairs, Vice President Administration and Finance and Chief Financial Officer, and President for approval. Please allow seven (7) business days for review and approval process.
<table>
<thead>
<tr>
<th>Role</th>
<th>Approval Process</th>
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| 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. Attests 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. |
| ASSISTANT VICE PRESIDENT FOR ADMINISTRATION AND FINANCE | 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. Attests 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. |
11. After approval, OSP&R ensures that the proposal is complete with all required assurances and certifications, required copies and submits to funding agency.

12. OSP&R provides a complete copy to principal investigator.

13. 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 over looked. 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.
APPENDICES
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: 75% of all Salaries and Wages
Off Campus: 37% of all Salaries and Wages

Indirect Cost Agreement Date: June 3, 2003

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

Fringe Benefit Rates – July 1, 2006 through June 30, 2007 (calculated as % of salary):

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>Fringe Benefit Rate</th>
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</thead>
<tbody>
<tr>
<td>Full Time Employees</td>
<td>35.5%</td>
</tr>
<tr>
<td>Part Time Employees</td>
<td>15.5%</td>
</tr>
</tbody>
</table>

Congressional District: 7 – David Hobson
Ohio House District: 76 – Kevin DeWine

U. S. Senators: George Voinovich
Michael DeWine
Ohio Senate District: 10 – Steve Austria
**BUDGET TEMPLATE**

**CENTRAL STATE UNIVERSITY**

**PROPOSAL NAME**

October 1, 2001 through September 30, 2002

**Year 1**

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost</th>
<th>Federal</th>
<th>CSU</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SALARIES AND WAGES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Salaries</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>John Doe, Principal Investigator @ 15% Time of Effort</td>
<td>$8,250</td>
<td>$8,250</td>
<td>$0</td>
</tr>
<tr>
<td>Thomas Jones, Co-Principal Investigator @ 50% Time of Effort</td>
<td>$24,000</td>
<td>$0</td>
<td>$24,000</td>
</tr>
<tr>
<td>Jane Thomas, Project Coordinator @ 20% Time and Effort</td>
<td>$10,000</td>
<td>$0</td>
<td>$10,000</td>
</tr>
<tr>
<td>Mary Smith, Administrative Assistant @ 100% Time of Effort</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Subtotal Administrative Salaries</strong></td>
<td>$67,250</td>
<td>$33,250</td>
<td>$34,000</td>
</tr>
<tr>
<td><strong>Students</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Wages @ $7.00/hour x 20 hours/week x 10 weeks x 2 students</td>
<td>$2,800</td>
<td>$2,800</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Subtotal Students</strong></td>
<td>$2,800</td>
<td>$2,800</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total Salaries and Wages</strong></td>
<td>$70,050</td>
<td>$36,050</td>
<td>$34,000</td>
</tr>
<tr>
<td><strong>FRINGE BENEFITS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>35% Full-Time Salaries (Administrative Salaries x 35%)</td>
<td>$22,865</td>
<td>$11,305</td>
<td>$11,560</td>
</tr>
<tr>
<td>15.5% Part-Time Salaries</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Subtotal Fringe Benefits</strong></td>
<td>$22,865</td>
<td>$11,305</td>
<td>$11,560</td>
</tr>
<tr>
<td><strong>Total Salaries &amp; Wages and Fringe Benefits</strong></td>
<td>$92,915</td>
<td>$47,355</td>
<td>$45,560</td>
</tr>
<tr>
<td><strong>EQUIPMENT</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computers and Printers</td>
<td>$7,000</td>
<td>$3,500</td>
<td>$3,500</td>
</tr>
<tr>
<td>Expand Physics Lab</td>
<td>$45,000</td>
<td>$36,000</td>
<td>$9,000</td>
</tr>
<tr>
<td>Setting up Circuit and Instrumentation Lab</td>
<td>$60,000</td>
<td>$45,000</td>
<td>$15,000</td>
</tr>
<tr>
<td><strong>Total Equipment</strong></td>
<td>$112,000</td>
<td>$84,500</td>
<td>$27,500</td>
</tr>
<tr>
<td><strong>TRAVEL</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local travel @ $.445/mile x 500 miles</td>
<td>$223</td>
<td>$112</td>
<td>$0</td>
</tr>
<tr>
<td>Two conferences @ $1,140.15 per conference x 2 staff</td>
<td>$4,597</td>
<td>$4,597</td>
<td>$0</td>
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<tr>
<td><strong>Total Travel</strong></td>
<td>$4,819</td>
<td>$4,709</td>
<td>$0</td>
</tr>
<tr>
<td><strong>PARTICIPANT SUPPORT COSTS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student tutors and mentors</td>
<td>$37,000</td>
<td>$37,000</td>
<td>$0</td>
</tr>
<tr>
<td>Travel for program participants</td>
<td>$2,500</td>
<td>$2,500</td>
<td>$0</td>
</tr>
<tr>
<td>Room and Board</td>
<td>$4,000</td>
<td>$4,000</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total Participant Support Costs</strong></td>
<td>$44,300</td>
<td>$44,300</td>
<td>$0</td>
</tr>
<tr>
<td><strong>OTHER DIRECT COSTS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstration models development</td>
<td>$10,000</td>
<td>$5,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>Learning tools</td>
<td>$4,800</td>
<td>$3,840</td>
<td>$960</td>
</tr>
<tr>
<td>Office consumables</td>
<td>$3,000</td>
<td>$1,500</td>
<td>$1,500</td>
</tr>
<tr>
<td>Information and Communications</td>
<td>$5,000</td>
<td>$2,500</td>
<td>$2,500</td>
</tr>
<tr>
<td>Consultants</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>External Evaluation</td>
<td>$7,500</td>
<td>$7,500</td>
<td>$0</td>
</tr>
<tr>
<td>Visiting faculty</td>
<td>$14,000</td>
<td>$14,000</td>
<td>$0</td>
</tr>
<tr>
<td>Subcontracts</td>
<td>$5,000</td>
<td>$5,000</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total Other Direct Costs</strong></td>
<td>$49,300</td>
<td>$30,340</td>
<td>$9,960</td>
</tr>
<tr>
<td><strong>TOTAL DIRECT COSTS</strong></td>
<td>$363,334</td>
<td>$220,204</td>
<td>$83,020</td>
</tr>
<tr>
<td><strong>TOTAL INDIRECT COSTS (75% of Salaries and Wages)</strong></td>
<td>$52,538</td>
<td>$27,038</td>
<td>$25,500</td>
</tr>
<tr>
<td><strong>GRAND TOTAL DIRECT AND INDIRECT COSTS</strong></td>
<td>$355,872</td>
<td>$247,242</td>
<td>$108,520</td>
</tr>
</tbody>
</table>
A. **ADMINISTRATIVE SALARIES**

1. **Principal Investigator:** John Doe, CSU Faculty Member, will be responsible for the overall project goals and objectives. He will devote 15% of his time to the project. $8,250 (15% of $55,000 annual salary) to be charged to the grant.

2. **Co-Principal Investigator:** Thomas Jones, CSU Faculty Member, will be responsible for the daily management of the project. He will devote 50% of his time to the project. A total of $24,000 (50% of $48,000 annual salary) will be contributed to the project by CSU as matching costs.

3. **Project Coordinator:** Jane Thomas, CSU Faculty Member, will provide technical support to the Co-Principal Investigator. She will devote 20% of her time to the project for a total of $10,000 (20% of $50,000 annual salary) to be contributed to the project by CSU as matching costs.

4. **Secretarial:** Mary Smith, Administrative Secretary, will provide program office support to the Co-Principal Investigator. She will devote 100% of her time to the project for a total of $25,000 to be charged to the project.

**Sub-total Personnel:** $67,250  
**External Agency:** $33,250  
**CSU:** $34,000

B. **STUDENT WAGES**

Two students will be hired to assist in the daily operations of the office at $7.00 per hour for 20 hours a week for 10 weeks for a total of $2,800 to be charged to the project.

**Sub-total Student Wages:** $2,800  
**External Agency:** $2,800  
**CSU:** $0.00

**TOTAL SALARY AND WAGES:** $70,050  
**External Agency:** $36,050  
**CSU:** $34,000

C. **FRINGE BENEFITS**

Fringe benefits is charged as a direct cost at a rate of 35.5% for full-time employees and 15.5% for part-time employees. $11,305 (35.5% x $33,250) to be charged to the project.

**Sub-total Fringe Benefits:** $22,865  
**External Agency:** $11,305  
**CSU:** $11,560

**TOTAL PERSONNEL AND FRINGE BENEFITS:** $92,915  
**External Agency:** $47,355  
**CSU:** $45,560

D. **EQUIPMENT**

1. One computer and printer will be purchased to support the program for a total of $3,500 to be charged to the project. CSU will provide one computer and one printer in matching contribution of $3,500.

2. Setup and upgrade of GDT lab in order to enhance instruction in the teaching of course sequence and the associated laboratories which is critical for majors in BIO, CHM, MFE, and WRM for a total cost of $45,000; $36,000 to be charged to the project and CSU will provide $9,000 in
matching funds.

2. Setup and upgrade of laboratories in the MFE Department for a total of $60,000; $45,000 to be charged to the project and CSU will provide $15,000 in matching funds.

**TOTAL EQUIPMENT: $112,000**  
External Agency: $84,500  
CSU: $27,500

**D. TRAVEL**

Funds are being requested for project staff to travel to high schools around the State of Ohio at $.445 per mile times 500 miles totaling $203 charged to the project.

Funds are being requested for two project staff members to attend two conferences at $1,153.35 per conference for a total of $4,775 charged to the project.

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meals</td>
<td>$40.00 per day x 3 days</td>
<td>$120.00</td>
</tr>
<tr>
<td>Mileage</td>
<td>$.405 per mile x 70 miles (To and from Airport)</td>
<td>$28.35</td>
</tr>
<tr>
<td>Air Travel</td>
<td>$400.00 round trip</td>
<td>$400.00</td>
</tr>
<tr>
<td>Parking</td>
<td>$10.00 per day x 3 days (Airport parking)</td>
<td>$30.00</td>
</tr>
<tr>
<td>Registration</td>
<td>$225.00 conference registration</td>
<td>$225.00</td>
</tr>
<tr>
<td>Hotel</td>
<td>$175.00 per night x 2 nights</td>
<td>$350.00</td>
</tr>
<tr>
<td><strong>Total</strong>:</td>
<td></td>
<td><strong>$1,149.15</strong></td>
</tr>
</tbody>
</table>

**TOTAL TRAVEL: $4,775**  
External Agency: $4,775  
CSU: $0.00

**E. PARTICIPANT SUPPORT COSTS**

1. Stipends  
   a. Student tutors and mentors will provide tutoring and mentoring assistance to other students for 20 hours a week at a rate of $9.00 per hour for ten weeks per quarter for three quarters (7 x 20 hours x $9.00 per hour x 10 weeks x 3 quarters) $37,800 charged to the project.

2. Travel: Costs associated with transportation of summer program participants from CSU to off campus sites at a cost of $500 per trip for five trips ($500 per trip x 5 trips) $2,500.

3. Subsistence: Room and Board cost for summer participants at a cost of $30 per day for 20 students for four weeks ($30 x 20 x 28 days) $16,800. Room and board cost for summer research students at $1,000 per month for 2 months for a total of $4,000.

**TOTAL PARTICIPANT SUPPORT COSTS: $44,300**  
External Agency: $44,300  
CSU: $0.00

**G. OTHER DIRECT COSTS**

1. Materials and Supplies  
   a. Development of demonstration models for recruitment and high schools $10,000.  
   b. Study group learning tools $4,800.  
   c. Office consumables $3,000.  
   Total of $10,340 will be charged to the project and CSU will provide $7,460.

2. Information and communications  
   a. Duplication $2,000.  
   b. Long distance telephone $1,000.  
   c. Subscriptions $1,000.
d. Mailing expenses $1,000.

Total of $2,500 will be charged to the project and CSU will provide $2,500.

3. Consultant Services
   a. External evaluation of Project $7,500. External evaluator will conduct, pre- and post-tests, and develop process evaluation measures at a rate of $300/day x 25 days.
   b. Visiting faculty to establish GDT Lab in MFE Department $14,000 at a rate of $200/day x 70 days.
   c. Subcontractors $5,000 as described in body of proposal.

TOTAL OTHER DIRECT COSTS: $49,300       External Agency: $39,340       CSU: $9,960


I. INDIRECT COSTS

The university official negotiated indirect cost reimbursement rate is 75% of salaries and wages, therefore, a total of $27,038 ($36,050 of salaries and wages x 0.75) will be charged to the grant.

TOTAL INDIRECT COSTS: $52,538       External Agency: $27,038       CSU: $25,500

J. TOTAL DIRECT AND INDIRECT COSTS: $355,823
   External Agency: $247,303       CSU: $108,520
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.
Electronic Research Administration Resources

ELECTRONIC NEWSLETTERS, MAILING LISTS & WEBSITES

ASTA News, American Seed Trade Association

Charity News-USA, Charity Channel
http://www.charitychannel.com/scribe

Communications Related Headlines, Benton Foundation
http://www.benton.org/index.php?q=emailsub

EDInfo; The Achiever; ED Review; Education Innovator; ED RSS; IES News; Education Statistics Quarterly; Teacher Updates; PreventionED; OVAE Review, U.S. Department of Education

GLIN Daily News, Great Lakes Information Network
http://www.great-lakes.net/news/

JUSTINFO, U.S. Department of Justice
http://ncjrs.gov/subreg.html

LLRX-Buzz
http://www.llrx.com/email.htm

NCBE Newsline, National Clearinghouse for Bilingual Education
http://www.ncbe.gwu.edu/newsline/subscribe.html

NEH Connect!, National Endowment for the Humanities

NIH Guide to Grants and Contracts, National Institutes of Health
http://grants2.nih.gov/grants.guide/listserv.htm

NSF Current, National Science Foundation

Philanthropy News Digest, RFP Bulletin, The Foundation Center
http://www.foundationcenter.org/pnd/

ACCOUNTABILITY; ACCOUNTING-NP; ADVANCEMENT;
ADVOCACY; ANNUAL_FUND; ARTS_GIFT; CAPTALK; CHARITY-HR; CHARITY-PR;
CHARITYLAW; CHARITYLEADER; CHARITYSTART; CHARITYTALK;
CHARTERSCHOOLS; CONSULTANTS; CULTURPHIL; DEV-WRITING;
DEVELOPMENT-OFFICE; E-PHILANTHROPY; EVENTS; GIFTPLAN; GRANTS; PRSPCT-L; TECHNOLOGY; VOLUNTEER-ISSUES, Charity Channel
http://www.charitychannel.com/collaborate/wa.exe?REPORT=&n=&m=&a=maybe&s=0&X=&Y=&z=3

ResearchBuzz
http://www.researchbuzz.com/wp/

Studio B Buzz
http://lists.studiob.com

TR NEWS, Transportation Research Board of the National Academies

APA Psychology Research Funding Bulletin, American Psychological Association

Art Deadlines List
http://artdeadlineslist.com/subscribe/topica.html

ArtsEdge, Kennedy Center
http://artsedge.kennedy-center.org/connect/rpt.cfm

Cultural Funding – Federal Opportunities
http://www.nea.gov/federal.html

Custom Development Solutions – Foundations
http://www.cdsfunds.com/subscribe.html

EPA Grant Writing Tutorial, U.S. Environmental Protection Agency
http://www.purdue.edu/envirosoft/grants/src/title.htm

Proposal Writing Short Course, The Foundation Center
http://www.foundationcenter.org/getstarted/tutorials/shortcourse/

FirstGov News
http://apps.gsa.gov/FirstGovCommonSubscriptionService.php

Funders for Lesbian and Gay Issues
http://www.workinggroup.org/lgbtfunders/

Funding Opportunities for Africans and Foreign Nationals
http://globetrotter.berkeley.edu/RADW/fundop1.html

Fundsnet Services Online
http://www.fundsnetservices.com
FundSource, American Psychological Association
http://www.decadeofbehavior.org/fundsource/index.cfm

Pre-Application Self Assessment Tool, U.S. Department of Energy
http://eere.energy.gov/inventions/financial_propqa.html

ScienceCareers.org
http://sciencecareers.sciencemag.org/funding?CFID=687927&CFTOKEN=90613002

H-Net – Humanities and Social Sciences Online
http://www.h-net.org

Center for the Study of the Public Domain
http://www.law.duke.edu/cspd/

Librarians’ Internet Index
http://www.lii.org/

LivingInternet.com
http://LivingInternet.com/

Moreover.com
http://www.moreover.com/index.html

The Grantsmanship Center Magazine
http://www.tgci.com/publications/magSubscription.asp

Sources of Funding in International Democratic Development, National Endowment for Democracy
http://www.ned.org/dbtw-wpd/textbase/searchFunding.html

proposalwriter.com
http://www.proposalwriter.com
HBCU DESIGNATED AGENCY REPRESENTATIVES AND LIAISONS

WHITE HOUSE INITIATIVE ON
HISTORICALLY BLACK COLLEGES AND UNIVERSITIES
DESIGNATED AGENCY REPRESENTATIVES AND LIAISONS
EXECUTIVE ORDER 13265

AGENCY FOR INTERNATIONAL DEV.

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Fax: (202) 216-3056 (Fax)
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Fax: 202-663-4093  
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**U.S. DEPARTMENT OF HEALTH AND HUMAN & SERVICES**

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Faculty-Staff Research Profile/Program Interest Form

Name: ________________________________________________

Position: _____________________________________________

Department: __________________________________________

Campus Address: _______________________________________

Campus Phone Number: _________________________________

Campus Fax Number: _________________________________

Home Phone Number: __________________________________

E-Mail (work/home): __________________________________

Subjects to be Researched (Please be specific): ____________________________

Use other side if necessary. ____________________________________________

Prior Projects: _________________________________________

Prior Funding Agencies: __________________________________

____________________________________________________________________
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.
   61300  Salary line for biweekly employees.
   61330  Salary line for supplemental salary for faculty members and staff employees.
   61331  Off-Campus Supplemental salary.
   61332  Supplemental salary – no indirect costs.
   61335  Salary line for part-time wages.
   61475  Salary line for overtime wages for biweekly employees.
   61600  Salary line for college cash for student employees.
   61700  Fringe benefits (35.5% of full-time and supplemental salaries and 15.5% for part-time salaries. No fringe benefits are charged to students during the academic year.) Fringe benefits at the 15.5% are charged during the summer if a student is not enrolled in summer session.
   71800  Consumable office supplies such as paper, pens, and printer supplies.
Travel for full and part-time CSU employees but not students.
Travel for CSU students.
Travel for non CSU employees directly participating on projects such as consultants, advisory board members, evaluators, etc.
Information and communications, i.e., telephone charges, and dissemination of materials.
Maintenance and repairs.
Purchased Services such as subcontracts, evaluation services, consultants.
Postage expenses.
Printing and Copying expenses
Equipment purchase; items over $500 per unit.
Purchase of computers, monitors, printers, scanners, hard drives, zip drives, and any other computer related equipment.
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 Sponsor 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

1. Identify positions approved by funding agency.

2. Develop a detailed job description with responsibilities and qualifications necessary for the position (Figure 1).

3. Complete an employment requisition form (Figure 1A), attach the job description.
Section 1:

i. Name of Person being replaced, if applicable.
ii. Title: Position
iii. Department: Project Name.
iv. Fund Number: Project fund number.
v. Org. # : Project Organization number
vi. Account Line: Account line of your budget that salary is to be paid from (i.e., 61000, 61100, 61300, 61330, 61475).
vii. Projected annual salary or part-time salary rate.
viii. Check restricted box.
ix. Check temporary box.

Section 2:
Please note that on the employment requisition form, all externally sponsored jobs are temporary positions valid until the funding expires.

4. Submit employment requisition to department head for review and approval. Conduct interview and selection process following guidelines provided by CSU Human Resources.

5. At the conclusion of the interview and selection process, the Employee Action Form (Figure 2) is initiated.
FIGURE 1

JOB 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.
# Employment Requisition

**Position Control #:**

<table>
<thead>
<tr>
<th><strong>1. Name of Person Being Replaced</strong></th>
<th><strong>Title</strong></th>
<th><strong>Department</strong></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th><strong>Fund #</strong></th>
<th><strong>Org. #</strong></th>
<th><strong>Acct. #</strong></th>
<th><strong>Annual Salary</strong></th>
</tr>
</thead>
</table>

- [ ] Restricted
- [ ] New Position
- Replacement
- Temporary
- [ ] Unrestricted

**Effective Date of Vacancy:**

**Reason for Vacancy:**

<table>
<thead>
<tr>
<th><strong>2. Requested by</strong></th>
<th><strong>Department</strong></th>
</tr>
</thead>
</table>

- [ ] a. I recommend that the position be permanently filled.
- [ ] b. I recommend that the position be temporarily filled from ___ to ___
- [ ] c. I recommend that the position be part-time permanent.
- [ ] d. I recommend that the position be permanently vacated.

**Dean/Director**

**Signature of Dean/Director**

**Date**

**Vice President**

**Signature of Vice President**

**Date**

<table>
<thead>
<tr>
<th><strong>3. Budget Verification</strong></th>
</tr>
</thead>
</table>

**Reason if Disapproved:**

**Signature of Budget Director**

**Date**

<table>
<thead>
<tr>
<th><strong>4. Human Resource Office</strong></th>
</tr>
</thead>
</table>

**Audit**

**Recommendation**

- [ ] a. Classification Remains the Same
- [ ] b. Position Should Be Reclassified To

**Signature of Human Resource Director**

**Date**

<table>
<thead>
<tr>
<th><strong>5. Position is New/To Be Reclassified Upward:</strong></th>
</tr>
</thead>
</table>

- [ ] Approved
- [ ] Disapproved

**Signature of President**

**Date**

**Reason if Disapproved:**

**NOTE:** This form will not be processed without an attached Job Description.

Rev. 8/00
B. Current CSU Employee
   1.) Contact employee supervisor to negotiate availability.
   2.) Complete Employee Action Form (Figure 2).

C. Employee Action Form
   (Triplicate copies can be obtained from the Human Resources Department)
1. Fund Code: The fund number to which employee will be charged.
2. Org. Code: The organization number to which employee will be charged.
3. Acct. Code: Salary line where employee pay will be charged.
4. Section A: Check the appropriate box.
5. Section B: Check the appropriate box.
6. Department: The restricted fund program name.
7. Job Title: The title of the position.
8. Name, Street, City/State/Zip, Phone, Social Security Number: Self-explanatory.
11. Start Date, End Date: Self-explanatory.
12. Attach a job description and pay schedule
13. If a current staff member, in supplemental status, a certification and approval form must be attached with appropriate signatures (see figure 3).
FIGURE 3

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*

*Employee’s direct supervisor*

*Signature - Approved*  
*Print Name*  
*Date*

*Employee’s division head*

*Signature – Approved*  
*Print Name*  
*Date*

HR-01-2005-00
D. 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 ÷ 9 months for a monthly rate of $5,000.

b.) Hourly rate is determined as follows: Monthly rate of $5,000 x 12 months to yield 12 month salary of $60,000, then divide by 2080 hours ($5,000 x 12 ÷ 2080) = $28.85 per hour.

c.) Daily rate is determined by multiplying hourly rate by eight hours (8 hours x $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 ÷ 2080 = $21.63 per hour).

c.) Daily rate is determined by multiplying hourly rate by eight hours ($21.63 x 8 hours = $173.04).

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

E. 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 up to 15% of effort in 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.
F. 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.

G. 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 4). The Conflict of Interest Policy can be found at www.centralstate.edu.
FIGURE 4

CENTRAL STATE UNIVERSITY
Financial Conflict of Interest Screening/Disclosure Form
2002-2003

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? ________________

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______
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______
Copyright? Yes______ No______

2-6. Will the entity do business with Central State University? Yes______ No______
or member of the project team? 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____________________
H. 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. 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.

2) 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).

All faculty and staff concerned will complete a faculty and staff Time and Effort Form (Figure 5). 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.
FIGURE 5

CENTRAL STATE UNIVERSITY
MONTHLY TIME AND EFFORT ACTIVITY FORM

FROM _______/________/20____ TO ________/_________/20____

<table>
<thead>
<tr>
<th>Name</th>
<th>Social Security Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position</td>
<td>Department</td>
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<tr>
<td>Restricted Activity Name</td>
<td>Fund Number</td>
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<td>Prepared By</td>
<td></td>
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<tr>
<td>Type of Activity</td>
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<table>
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<tr>
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<th>Hours Worked</th>
<th>Date Worked</th>
<th>Hours Worked</th>
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<td>31</td>
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</table>

Total Hours Worked

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.

____________________________________
Signature of Employee

____________________________________
Organization Manager
IV. 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.
V. PURCHASE REQUISITION FORM  
(Triplicate copies can be obtained from University Stores)

A. In completing the CSU purchase requisition form, (Figure 6) please note the following.

1.) Object 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.) Attach documentation such as quotations, item descriptions and/or pro-forma invoices as necessary.

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 (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 or the President.

c.) When a company is to be utilized in a 12-month period, a university approved subcontract should be used (Appendix 2).

   1.) If the other party to a subcontract wishes to modify the approved CSU subcontract, the university General Counsel must approve the changes.

d.) A detailed statement of work should be attached to the
Professional Service Agreement or Subcontract which includes:

1.) Tasks for subcontractor/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.

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

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

7.) Please review CSU purchasing policy for other guidelines. Available online at www.centralstate.edu.
PURCHASE REQUISITION
CENTRAL STATE UNIVERSITY
WIBERFORCE, OHIO 45384

Date of Requisition: ______________________
Orgn. Telephone Number: ＿＿＿＿＿
Organization Name: ______________________
Requested Delivery Info:
Area/Organization Number: Area _____ Orgn. _____
Date: ＿＿＿＿＿
Requested By: ______________________
Building/Room: ＿＿＿＿＿

VENDOR INFORMATION

Requested Vendor: ______________________
Address: ＿＿＿＿＿
City/State/Zip Code: ＿＿＿＿＿
Contact Name / Telephone Number: ＿＿＿＿＿

ACCOUNTING INFORMATION

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<th>ORGN.</th>
<th>SUB-ORGN.</th>
<th>FUNCTION</th>
<th>OBJECT</th>
<th>SUB-OBJECT</th>
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<th>INCREASE/DECREASE</th>
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COMMODITY INFORMATION

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</table>

COMMENTS
TOTAL OF REQUISITION

ORGANIZATION APPROVAL
VI. 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 Reports (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).
CENTRAL STATE UNIVERSITY
Travel Requisition/Campus Leave Form

Date: ________________________
Destination: ___________________________________________________________
Departure From: ____________________________ A.M. __________ P.M. _______
(city) (date)
Return: ___________________________ _______________________________________
Purpose of Travel: ______________________________________________________

ACCOUNTING DATA

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</table>

TRAVEL INFORMATION

EXPENSE SPECIFY ANY DETAILS ESTIMATED COST
MEALS* $40 per day x _______ days $____________
GROUND TRANSPORTATION $.36 per mile x ______ miles $____________
AIR TRAVEL $____________
PARKING $____________
CAR RENTAL $____________
REGISTRATION (please attach registration form) $____________
HOTEL $____________
OTHER $____________
*$20 per day students ESTIMATED TOTAL $____________

SUGGESTED HOTEL INFORMATION

Name: ______________________________
Address: ____________________________
Phone: ______________________________

TYPE OF ROOM DESIRED

Single_____________
Double ____________

SPECIAL INSTRUCTIONS:
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

PLEASE SUBMIT AT LEAST TWO WEEKS IN ADVANCE OF TRAVEL REQUIREING 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
FIGURE 8

TRAVEL EXPENSE REPORT

Employee Name____________________ Organization Name ______________________
Date of Travel____________________ Organization Number _________________
Destination ______________________ Purpose ______________________________
Total Amount Authorized $____________

TRAVEL REIMBURSEMENT INFORMATION

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<td>POV Transportation* (Miles Driven)</td>
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<tr>
<td><strong>Total</strong></td>
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</tbody>
</table>

Prepaid by CSU __________
Amount of Reimbursement ___________

Signature _____________________ Date__________
Approval ______________________ Date__________
(Supervisor)

ATTACH ALL RECEIPTS

*POV mileage must be reported on POV Mileage Report form for multiple days and/or mileage reimbursement only.
### CENTRAL STATE UNIVERSITY
### POV Mileage Report

<table>
<thead>
<tr>
<th>Date</th>
<th>Day</th>
<th>From</th>
<th>To</th>
<th>Total Miles Driven</th>
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</tbody>
</table>

Total Miles Driven: ______________

$0._________

Total Reimbursement: $_____________

Employee Name: ___________________________  Signature: ___________________________

(Please Print)

Org. Name and Number: __________________________

Approval: ___________________________

Purpose: ___________________________

(Supervisor)
POST TRAVEL REPORT FORM

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) ____________________________
_____________________________________________________________________

FIGURE 9
VII. APPROVAL PROCESS

FLOW CHART FOR EMPLOYMENT REQUISITIONS

Principal Investigator/Project Director as Requestor

Dean

Title III 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

Human Resources (CSU Guidelines)

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

Assistant Vice President for Administration and Finance (Verification of Allowability)

President (If new position or upward reclassification)
FLOW CHART FOR EMPLOYEE ACTION FORMS

Principal Investigator/Project Director

Organization Manager/Department Chair

Dean

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

Division Approval

Vice President for Enrollment Management

Provost & Vice President for Academic Affairs

Vice President for Administration and Chief Financial Officer

President

Human Resources (CSU Guidelines)

Assistant Vice President for Administration and Finance
(Verification of Allowability)

Human Resources (Contact employee for signature)

Vice President for Administration and Chief Financial Officer

President
FLOW CHART FOR PURCHASE AND TRAVEL REQUISITIONS ON EXTERNALLY FUNDED PROGRAMS

Principal Investigator/Project Director

Organization Manager/Department Chair

Dean

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

Assistant Vice President for Administration and Finance (Verification of allowability)

Division Approval

Vice President for Enrollment Management

Provost & Vice President for Academic Affairs

Vice President for Administration and Chief Financial Officer

President

Business Services
VIII. 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 quantitive 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 Quantitive 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.
### FIGURE 10

**CENTER ON ALCOHOL PREVENTION- 9060**  
**AVAILABLE BALANCE AS OF AUGUST 29, 2001**

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</table>
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.**

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-competing 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.

IV. 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.

A. 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.

B. Supplies

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

C. 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.

D. 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 invoice 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.
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                   Print Name
Date                      Date

Services are to be charged to Account Number(s):_______________________
APPENDIX 2

SUBCONTRACT on SPONSORED PROGRAMS

This agreement is made this day _______________ of _______________, 20____, between Central State University, hereinafter called PRIME CONTRACTOR and _________________, hereinafter called SUBCONTRACTOR.

SUBCONTRACTOR agrees that SUBCONTRACTOR shall provide goods and/or services to PRIME CONTRACTOR in accordance with the statement of work, per Attachment A.

The parties agree as follows:

**ARTICLE 1: TERM AND ESTIMATED COST:** The term of this Agreement shall be from _______________, 20___ to _______________, 20___ unless extended by duly executed written amendment. PRIME CONTRACTOR will pay SUBCONTRACTOR a sum not to exceed $____________________. Funds are to be expended as detailed in SUBCONTRACTOR’s budget, as submitted and approved by PRIME CONTRACTOR.

**ARTICLE 2: AUDIT:** For three years following the completion or termination of this Agreement, PRIME CONTRACTOR and/or, if applicable, any cognizant government audit agency, shall have access to SUBCONTRACTOR's records and documentation for audit purposes during normal business hours and upon 10 days notice. SUBCONTRACTOR shall promptly reimburse PRIME CONTRACTOR for any amounts for which SUBCONTRACTOR cannot provide adequate documentation or substantiation.

**ARTICLE 3: DEVOTION OF REASONABLE TIME AND SKILL:** SUBCONTRACTOR shall provide the highest professional standard of work and devote SUBCONTRACTOR's full attention and efforts to the interest of PRIME CONTRACTOR during all hours charged to PRIME CONTRACTOR. SUBCONTRACTOR shall comply with appropriate legal, ethical and professional standards of behavior and conduct.

**ARTICLE 4: INDEPENDENT CONTRACTOR STATUS:** It is expressly understood and agreed that SUBCONTRACTOR is not an agent or employee of PRIME CONTRACTOR. SUBCONTRACTOR’s status is that of independent contractor and SUBCONTRACTOR has no authority to act for or on behalf of PRIME CONTRACTOR or to bind PRIME CONTRACTOR in any manner. SUBCONTRACTOR will make no claim against PRIME CONTRACTOR for any remuneration, Worker’s Compensation, unemployment compensation or other benefit which would arise from an employer-employee relationship and assumes all responsibility for payment of wages, benefits or other remuneration to and assumes full responsibility for any acts or omissions of said person(s) or third parties employed by or under contract with SUBCONTRACTOR.
ARTICLE 5: INSURANCE: SUBCONTRACTOR shall maintain appropriate insurance coverage during the term of this Agreement and any extensions thereof, including as a minimum, the following:

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<th>Limits</th>
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<td>Workers’ Compensation (as required by law)</td>
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<tr>
<td>Employers’ Liability (if SUBCONTRACTOR has</td>
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</tr>
<tr>
<td>Employees)</td>
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</tr>
<tr>
<td>Commercial General Liability insurance</td>
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<tr>
<td>applicable to SUBCONTRACTOR’s business</td>
<td></td>
</tr>
<tr>
<td>Auto Liability</td>
<td>$ 300,000</td>
</tr>
</tbody>
</table>

Upon request, SUBCONTRACTOR shall provide PRIME CONTRACTOR with insurance certificates verifying these minimum levels of coverage. SUBCONTRACTOR shall provide for a 30-day written notice to PRIME CONTRACTOR of any significant change in said coverage.

ARTICLE 6: INDEMNIFICATION/WAIVER: To the maximum extent permitted by law, SUBCONTRACTOR agrees to indemnify and hold PRIME CONTRACTOR, its officers, trustees, agents and employees harmless from any and all liability, claims, suits, demands and damages, as a result of property damage or personal injury, including death sustained by any person (including but not limited to SUBCONTRACTOR’s employees) and all costs and expenses in connection therewith (including but not limited to reasonable attorney fees) relating to or arising out of SUBCONTRACTOR’s performance under this Agreement. SUBCONTRACTOR agrees to waive any and all claims against PRIME CONTRACTOR and its officers, trustees and employees, arising out of personal injury (including death) or damage to property occurring in connection with SUBCONTRACTOR’s performance of services pursuant to this Agreement, including, but not limited to claims of subrogation under the laws of any jurisdiction related to Worker’s Compensation.

In its performance of this Agreement, SUBCONTRACTOR shall comply with all applicable Federal, State and local laws and regulations, including but not limited to, all applicable laws and regulations relating to business ethics, protection of the environment, occupational safety and health, equal opportunity and non-discrimination, the Immigration Reform and Control Act and the Fair Labor Standards Act.

SUBCONTRACTOR will indemnify and hold PRIME CONTRACTOR and its trustees, officers, employees and representatives harmless from and against any claims, demands, suits, losses, damages, costs and expenses arising out of any non-compliance, violation or alleged non-compliance or violation by SUBCONTRACTOR of any such laws, regulations and/or ordinances.

ARTICLE 7: DISPUTES: All disputes shall be resolved in the following manner:

a.) Pending the final resolution of any dispute involving this Agreement,
SUBCONTRACTOR agrees to proceed with performance of this Agreement, including the performance of services and the delivery of goods, in accordance with PRIME CONTRACTOR instructions. Within one year of the act giving rise to the dispute SUBCONTRACTOR shall submit to PRIME CONTRACTOR's Procurement/Contracting Officer a written demand for PRIME CONTRACTOR's final decision regarding the disposition of any dispute between the parties relating to this Agreement, unless PRIME CONTRACTOR on its own initiative has already rendered such a final decision. Any PRIME CONTRACTOR final decision shall be expressly identified as such, shall be in writing and shall be signed by PRIME CONTRACTOR's Procurement/Contracting Officer, except that PRIME CONTRACTOR's failure to render a final decision within ninety (90) calendar days after receipt of SUBCONTRACTOR's demand shall be deemed a final decision adverse to SUBCONTRACTOR's contentions.

b.) PRIME CONTRACTOR's final decision shall be conclusive and binding regarding the dispute unless SUBCONTRACTOR commences an action to contest such a decision in a court of competent jurisdiction within the State of Ohio within ninety (90) days of the date of the decision or within one (1) year following the act giving rise to the dispute, whichever is later. Said dispute shall be adjudicated under the laws of the State of Ohio without regard to the state's conflict of laws provisions.

c.) SUBCONTRACTOR shall cooperate fully with PRIME CONTRACTOR in seeking a resolution of any dispute involving this Agreement under the disputes procedures set forth in any applicable higher-tier contract.

PRIME CONTRACTOR and the SUBCONTRACTOR shall each bear its own costs of processing of any dispute hereunder.

ARTICLE 8: INVOICES: SUBCONTRACTOR will invoice PRIME CONTRACTOR on a ______________ basis. Invoices and reports (See ARTICLE 7, REPORTING) shall be sent to the person identified in ARTICLE 7. SUBCONTRACTOR’s invoice will include the following information:

a.) A description of the services provided during the invoice period, including the name of the individual providing the service, date(s) of service, number of hours expended on that date, and the total amount owed for the services.

b.) A breakdown of expenses submitted for reimbursement. Travel (and other expenses, if any) will be listed in general categories such as air fare, hotel, rental car, meals, mileage, etc., and the date and destination of each trip (See Article 7).

All such expenses must be actual, reasonable, and properly documented.
Adequacy of records and documentation shall be determined by PRIME CONTRACTOR.

ARTICLE 9: TRAVEL: Travel expenses, if applicable, shall be reimbursed per Central State University guidelines for employee travel reimbursement (PRIME CONTRACTOR Policy No. 410).

ARTICLE 10: REPORTING: SUBCONTRACTOR shall provide with each invoice a written report of SUBCONTRACTOR’s activities. The report will include information regarding trips made, persons visited and subjects discussed, minutes of meetings, and all collateral memoranda and reports. Such report shall also disclose activities SUBCONTRACTOR intends to undertake in the next reporting period.

Reports should be sent to:

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<th>Financial</th>
</tr>
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<tbody>
<tr>
<td>Name: __________________________</td>
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<td>Fax: ___________________________</td>
</tr>
<tr>
<td>Email: _________________________</td>
<td>Email: _________________________</td>
</tr>
</tbody>
</table>

Upon the expiration or termination of this Agreement, SUBCONTRACTOR shall make complete disclosures of all activities not previously reported and certify in writing that such disclosures are complete.

ARTICLE 11: COMPLIANCE WITH LAWS: SUBCONTRACTOR agrees to comply with all applicable laws and regulations of the United States Government, the states and any political subdivision thereof.

SUBCONTRACTOR specifically agrees to comply with all federal and state laws and regulations of consultant/contractor conduct such as, procurement integrity regulations, and post-government service employment regulations including, but not limited to 41 U.S.C. 423, 18 U.S.C. 207 and 10 U.S.C.S. 2397, which apply to SUBCONTRACTOR, SUBCONTRACTOR’s employees, or the work performed by SUBCONTRACTOR under this Agreement.

SUBCONTRACTOR agrees to comply with all applicable provisions of the OFPP/OMB
Policy Letter on Consultants and Conflict of Interest and Public Law No. 101-121 (the Bird Amendment), including but not limited to, those not performing any activities on behalf of PRIME CONTRACTOR which are intended to influence or which attempt to influence Executive or Legislative branch officers or employees, including members of Congress, with respect to the award, renewal, extension, amendment or modification of a contract. SUBCONTRACTOR shall make no communication (written, oral, or telephonic) to a Congressional or Executive branch member, officer or employee on PRIME CONTRACTOR’s behalf for the purpose of so influencing without the written consent of PRIME CONTRACTOR. SUBCONTRACTOR shall not knowingly solicit or obtain, directly or indirectly, from any government or agency employee, any proprietary or source selection information.

SUBCONTRACTOR shall not offer provide any bribe or kickback to any person, nor shall SUBCONTRACTOR offer or provide any gratuity of any type or nature to any Federal, State, or Local government employees or officials.

SUBCONTRACTOR will immediately notify PRIME CONTRACTOR of any current or prior suspension or debarment from any government procurement activity; and any suspension, debarment or criminal convictions or notice thereof received during the performance of this Agreement.

ARTICLE 12: CONFLICT OF INTEREST: SUBCONTRACTOR will avoid and immediately notify PRIME CONTRACTOR of any actual or apparent conflict of interest of SUBCONTRACTOR with the objectives of PRIME CONTRACTOR or its Clients. These conflicts include, but are not limited to, interest, activities or relationships (past, present, or planned) which appear to bias SUBCONTRACTOR’s judgment or provide SUBCONTRACTOR or PRIME CONTRACTOR with an unfair competitive advantage with respect to any present or currently planned procurement activities.

SUBCONTRACTOR agrees that if at any time during the term of this Agreement, or for a period of one (1) year thereafter, SUBCONTRACTOR is, or contracts with PRIME CONTRACTOR to become, directly or indirectly, a sponsor of research, or if SUBCONTRACTOR’s employees, or agents are or become such a sponsor, or if the opportunity arises wherein any of the above parties may wish to become such a sponsor, SUBCONTRACTOR shall immediately disclose such information, and such additional information as may be reasonably requested by PRIME CONTRACTOR, for PRIME CONTRACTOR’s evaluation with respect to possible conflicts of interest.

ARTICLE 13: CONFIDENTIALITY: SUBCONTRACTOR agrees to keep confidential any information obtained by SUBCONTRACTOR under this Agreement. SUBCONTRACTOR shall not use such information for any purpose which is not specifically in furtherance of PRIME CONTRACTOR’s interests and SUBCONTRACTOR’s duties hereunder. Further, SUBCONTRACTOR shall refrain from publishing or revealing to others any information acquired by SUBCONTRACTOR in the course of this work without the prior written consent of PRIME CONTRACTOR.
The obligations with respect to handling proprietary information, as set forth in this Agreement, are not applicable to the following:

a.) Information that is now in, or hereafter enters, the public domain through no fault of SUBCONTRACTOR;

b.) Information that was previously known to SUBCONTRACTOR independently of disclosure by PRIME CONTRACTOR;

c.) Information that is disclosed with the written approval of PRIME CONTRACTOR; or

d.) Information that is received from other sources, provided such other source did not receive it due to a breach of this Agreement or such other source is not under obligation to retain the information in confidence.

Upon the expiration or termination of this Agreement, SUBCONTRACTOR agrees to return to PRIME CONTRACTOR all records, notebooks, data, drawings, photographs, and any other information or data of every description furnished by PRIME CONTRACTOR or developed by SUBCONTRACTOR during SUBCONTRACTOR’s performance of the services contemplated hereunder and further agrees not to disclose, without PRIME CONTRACTOR’s prior written approval, any such information or data. Such data and information shall be the sole property of PRIME CONTRACTOR.

**ARTICLE 14: RIGHTS IN INVENTIONS AND CONCEPTS:** PRIME CONTRACTOR shall be the exclusive owner of all inventions, concepts, computer codes, and other writings and discoveries made or conceived by SUBCONTRACTOR in the course of work under this Agreement and all those inventions, concepts, computer codes and other writings and discoveries made during the period of this Agreement, provided they result from information gained by SUBCONTRACTOR under this Agreement. SUBCONTRACTOR agrees to immediately disclose to PRIME CONTRACTOR any such inventions, concepts, computer codes and other writings and discoveries. All copyrightable works shall be deemed works for hire under the Copyright Law, but to the extent that by operation of law or otherwise that they are not works for hire, then SUBCONTRACTOR shall assign and hereby does assign, to PRIME CONTRACTOR all right, title and interest in the copyrightable work and copyright therein, including the right to apply for and receive copyright registrations, and other similar protection which may then be available.

SUBCONTRACTOR agrees to assign to PRIME CONTRACTOR, and does hereby assign to PRIME CONTRACTOR or its designee, all right, title and interest in such inventions, concepts, computer codes and other writings and discoveries. PRIME CONTRACTOR shall have the right to file applications in its own name as assignee or applicant for Patents, Copyrights, and/or Trademarks in the United State and foreign countries.

**ARTICLE 15: ACCESS:** In the event SUBCONTRACTOR is granted access to PRIME
CONTRACTOR facilities, SUBCONTRACTOR agrees to comply with all PRIME CONTRACTOR rules and regulations regarding conduct, security, and safety.

ARTICLE 16: STOP WORK ORDER: PRIME CONTRACTOR may at any time, by written order, require SUBCONTRACTOR to stop all or any part of the statement of work for a period of up to 90 days. Upon receipt of such an order SUBCONTRACTOR shall take all reasonable steps to minimize the incurrence of costs allocable to the work affected by the order during the period of work stoppage. PRIME CONTRACTOR shall either: (I) cancel the stop work order, or (ii) SUBCONTRACTOR asserts a claim for such adjustment within 30 days after the end of the period of work stoppage.

If the order is not canceled and the work covered is terminated for the convenience of PRIME CONTRACTOR, the reasonable costs resulting from the order shall be allowed in arriving at the termination settlement. If the order is not cancelled and the work covered is terminated for cause, the reasonable costs resulting from the order shall be allowed by equitable adjustment or otherwise in accordance with the applicable terms of this Agreement.

ARTICLE 17: TERMINATION FOR CONVENIENCE:

a.) The performance of services may be terminated, in whole or in part, by PRIME CONTRACTOR whenever for any reason it is determined that such termination is in the best interest of PRIME CONTRACTOR. Termination shall be effected by delivery to PRIME CONTRACTOR of a notice of termination specifying the extent to which performance of services is terminated and the date upon which such termination becomes effective.

b.) After receipt of the notice, and except as otherwise directed by PRIME CONTRACTOR, SUBCONTRACTOR shall,

i.) stop work on the date and to the extent specified in the notice;

ii.) place no further orders or subcontracts, except as may be necessary for completion of the portion of the statement of work that is not terminated;

iii.) terminate all orders and subcontracts to the extent that they relate to the performance of the portion of the statement of work terminated by the notice;

iv.) settle all outstanding liabilities and all claims arising out of the termination of orders and subcontracts so terminated;

v.) transfer title and deliver to PRIME CONTRACTOR any completed or partially completed work and material produced or acquired in connection with the portion of the statement of work terminated;
vi.) dispose of all property, facilities, and material in accordance with instructions issued by PRIME CONTRACTOR;

vii.) complete performance of the portion of the statement of work which was not terminated.

c.) The SUBCONTRACTOR shall submit a termination claim to PRIME CONTRACTOR within 60 calendar days after receipt of the notice.

d.) The SUBCONTRACTOR and PRIME CONTRACTOR may agree upon the amount to be paid by reason of the termination, which amount may include a reasonable allowance for profit on the work done, provided, that such agreed amount shall not exceed the total in ARTICLE 1 (as reduced by the amount of payments already made and the amount of work not terminated).

ARTICLE 18: TERMINATION FOR CAUSE: PRIME CONTRACTOR may, at its option, immediately terminate this Agreement by written notice to SUBCONTRACTOR in the event SUBCONTRACTOR shall do any one or more of the following:

a.) Breach or default on any of the duties or obligations of SUBCONTRACTOR created herein;

b.) Become insolvent;

c.) Permit or fail to prevent the filing of a petition for bankruptcy or reorganization involving SUBCONTRACTOR, whether filed by SUBCONTRACTOR or others;

d.) Make any arrangement or assignment for the benefit of creditors or permit or fail to prevent the appointment of a receiver for SUBCONTRACTOR;

e.) Death or long-term disability of SUBCONTRACTOR (30 days or more).

ARTICLE 19: CONSEQUENTIAL DAMAGES: In no event shall either SUBCONTRACTOR or PRIME CONTRACTOR be liable for any special, incidental or consequential damages of any type or nature whatsoever.

ARTICLE 20: NONWAIVER: Failure of PRIME CONTRACTOR to insist on strict performance of any of the terms, conditions and agreements herein contained shall not constitute or be construed as a waiver or relinquishment of PRIME CONTRACTOR’s rights thereafter to require strict compliance therewith.

ARTICLE 21: NOTICE: Any notice or payment required to be given or made hereunder by either party to the other may be given or made by depositing the same in the United States mail, postage prepaid, addressed to PRIME CONTRACTOR or
SUBCONTRACTOR at the addresses. Except where a specific notice period is provided herein, any notice shall be deemed to have been given and any payment to have been made on the date of the mailing thereof.

**ARTICLE 22: FORCE MAJEURE:** Neither party is responsible to the other for nonperformance or delay in performance of the terms and conditions herein due to Acts of God, acts of Government, wars, riots, and other causes beyond the control of the performing party.

**ARTICLE 23: ASSIGNMENT:** This Agreement shall not be assigned by SUBCONTRACTOR without the prior written approval of PRIME CONTRACTOR.

**ARTICLE 24: SUCCESSORS IN INTEREST:** This agreement shall be binding upon, inure to the benefit of, and be enforceable by and against the successors, assignees, and transferees of the parties hereto.

**ARTICLE 25: PUBLICITY:** No public releases including those for news, advertising, information, technical or scientific purposes relating to this Agreement shall be issued by SUBCONTRACTOR or by any second tier or below SUBCONTRACTOR without the prior written approval of PRIME CONTRACTOR.

**ARTICLE 26: CONTACT WITH CLIENT:** Under no circumstances will SUBCONTRACTOR act upon directions given to it by representatives of PRIME CONTRACTOR’s Client. All such direction and technical liaison must take place through the PRIME CONTRACTOR Technical Contact identified on the face of the subject Purchase Order. PRIME CONTRACTOR will not be liable for the cost of work done by SUBCONTRACTOR without written authorization from PRIME CONTRACTOR. If SUBCONTRACTOR receives such directions from a representative of PRIME CONTRACTOR’s Client it will notify PRIME CONTRACTOR’s Technical Contact as soon as possible and receive written authorization before taking any action based upon those directions.

**ARTICLE 27: SEPARABILITY:** If any provision of this Agreement shall for any reason be held invalid or unenforceable, such invalidity or unenforceability shall not affect any other provision hereof and this Agreement shall be construed as if such invalid or unenforceable provision had never been contained herein.

**ARTICLE 28: GOVERNING LAW:** This Agreement shall be governed by the laws of and enforced within the jurisdiction of the State of Ohio.

**ARTICLE 29: SECTION HEADINGS:** The descriptive Article headings have been inserted for convenience only and shall not be deemed to limit or otherwise affect the construction of any provision hereof.

**ARTICLE 30: ENTIRE AGREEMENT:** The referenced PRIME CONTRACTOR Purchase order (excluding any terms and conditions set forth on the reverse side of the
Purchase Order), these terms and conditions, and all attachments referenced on the face of the Purchase Order or herein, shall constitute the entire Agreement between the parties; any change, amendment or modification must be in writing and executed by an authorized representative of each party.

**ARTICLE 31: AGREEMENT CLOSEOUT REQUIREMENTS:** Upon completion of this Agreement, SUBCONTRACTOR will cooperate with PRIME CONTRACTOR's Procurement/Contracting Officer in providing all documentation necessary for the closeout of this Agreement. In the event that this Agreement has not been the subject of a final audit prior to close-out and, in the event that it is subsequently determined through audit, investigation, or otherwise, that SUBCONTRACTOR submitted to PRIME CONTRACTOR and was paid under this Agreement for unallowable or other improper amounts, SUBCONTRACTOR agrees to promptly reimburse PRIME CONTRACTOR for such amounts, and to promptly pay any penalties or other expenses resulting there from.

**ARTICLE 32: ORDER OF PRECEDENCE:** If the various parts of this Agreement are inconsistent, the following order of precedence shall apply: (1) these Terms and Conditions; (2) PRIME CONTRACTOR's RFP; and (3) SUBCONTRACTOR's Proposal.

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**FOR CENTRAL STATE UNIVERSITY**

Signature: _______________________

By: ____________________________

Title: __________________________

Date: _________________________

**FOR_________________________**

Signature: _______________________

By: ____________________________

Title: __________________________

Date: _________________________