

TITLE III

Funding Our Future



2012 - 2017 | Policies & Procedures Manual



This Policies and Procedures Manual is prepared to facilitate the implementation of activities funded by the Title III Program. It is designed to provide specific policies and procedures unique to the Title III Program, to be used in monitoring and evaluating program activities and controlling related expenditures, as well as to serve as a resource manual in carrying out the approved plans.

Compliance with the guidelines and regulations included in this Manual will ensure that the grant is administered in accordance with the U.S. Department of Education's General Administrative Regulations (EDGAR) and other Federal directives and affirms that the University has the documentation that will be needed to show compliance.

This Manual will be updated periodically as changes in policies and procedures are made by the U.S. Department of Education and the University of the District of Columbia.

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A Sampling of Title III Completed Projects

- ❖ Technology Assessment
- ❖ Configuration of the UDC David A. Clarke School of Law's Moot Courtroom
- ❖ Enhancements to Law Library
- ❖ Purchase of Emergency Response Equipment and Apparatus
- ❖ Principals' Institute (first round-13 graduates)
- ❖ Cyber Café
- ❖ Computer Upgrades and Maintenance
- ❖ Student E-mail Access
- ❖ Training of Faculty (Blackboard Scholars)
- ❖ Acquisition of Electric Vehicles
- ❖ Graphic Arts Digital Press
- ❖ ADA Assistive Technology
- ❖ Portable Wireless Classrooms
- ❖ Faculty and staff Training for CISCO Certification Program
- ❖ Purchase and Installation of Cogent Communications Internet Service
- ❖ Enhancements to Writing Center
- ❖ Enhancements to Accounting Lab
- ❖ Enhancements to Physics/Chemistry Lab
- ❖ Learning Resources Acquisitions
- ❖ Smart Classrooms
- ❖ Faculty Travel Opportunities
- ❖ Digital Message Boards
- ❖ Counseling Services
- ❖ Office of Advising & Retention
- ❖ On-line Teacher Training/Certification

LISTING OF CURRENT TITLE III FUNDED ACTIVITIES

**Historically Black Colleges & Universities
(HBCU)
2012-2017**

ACTIVITY NUMBER	ACTIVITY	ACTIVITY DIRECTOR
1	Administration	E. Williams (202) 274-5402
2	Retention	E. Olivares (202) 274-6891
3	Technology	A. Casciero (202) 274-6034
4	Faculty/Staff Development	M. Broome (202) 274-5707
5	Academic Programs	A. Casciero (202) 274-6034

**Student Aid and Fiscal Responsibility Act
(SAFRA)
2010-2019
(UDC-CC)**

ACTIVITY NUMBER	ACTIVITY	ACTIVITY DIRECTOR
1	Administration	E. Williams (202) 274-5718
2	Student Support	J. Johnson (202) 274-5040
3	Academic Programs	J. Johnson (202) 274-5040
4	Customer Service/Partnership	J. Johnson (202) 274-5040
5	Technology	J. Johnson (202) 274-5040

Historically Black Graduate Institutions
(HBGI)
2009-2014
(David A. Clarke School of Law)

ACTIVITY NUMBER	ACTIVITY	ACTIVITY DIRECTOR
1	Administration	E. Williams (202) 274-5718
2	Scholarships & Fellowships	J. Lopez (202) 274-5401
3	Student Services	J. Lopez (202) 274-5401
4	Public Outreach/Clinical Program	J. Lopez (202) 274-5401

WHAT IS TITLE III AT UDC?

Title III is a grant to institutions authorized by the Higher Education Act of 1965 and subsequent Congressionally-approved authorizations. The U.S. Department of Education awarded UDC a new Title III-B grant in 2012 which means that we are in the first year of a 5-year grant cycle. You've heard of Title IX which focuses on parity in women's sports; you've also heard of Title IV which includes Pell Grant allocations to students and the TRIO programs. The Title III grants provide monies to developing institutions (with particular emphasis on Historically Black College & Universities (HBCUs) to assist in the realization of each institution's Strategic Plan.

Title III takes on a different form from one institution to another; no two Title III operations are precisely the same. At the time of application, activities are presented along with objectives for completion. Only those activities that have been approved by the U.S. Department of Education can be carried out under Title III. Many of these activities are on-going throughout the 5-year or 2-year life of the grant. Others may be completed, allowing funds to be reprogrammed into another area, again with the approval of the U.S. Department of Education.

At UDC, due to our unique history, Title III has enabled the institution to progress by making some visible differences. When you look around the campus, Title III activity is evident in the Writing Center, the Accounting Lab, the portable wireless classroom, new athletic equipment, communication boards, the training of Blackboard Scholars, and many other initiatives.

The current HBCU grant cycle (FY 2012-2017) begins the fourteenth year of Title III funding. The U.S. Department of Education has approved five activities for the University: Administration, Student Retention, Enhancements to Technology, Faculty/Staff Development, and Academic Programs. **The total Title III award for fiscal year 2013 is \$2,415,668.**

A second Title III grant recently has been authorized through the Student Aid and Fiscal Responsibility Act (SAFRA) program. This grant is in the third year of a 10-year grant period. The U.S. Department of Education has approved five activities for the University: Administration, Student Success, Academic Programs, Customer Service/Partnerships, and Technology. **The total Title III-SAFRA award for fiscal year 2013 is \$945,311.**

A third Title III grant has been authorized through the Historically Black Graduate Institutions (HBGI) program, specifically for the David A. Clarke School of Law. This grant is in the fourth year of a 5-year grant period. The U.S. Department of Education has approved four activities for the University: Administration, Scholarships & Fellowships, Student Services and Public Outreach and Clinical Programs. **The total Title III-HBGI award for fiscal year 2013 is \$342,522.**

TITLE III – ALLOWABLE ACTIVITIES

A grantee **may** carry out one or more of the following activities as approved in the original application or subsequent determinations:

- 1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.
- 2) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings.
- 3) Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.
- 4) Development and improvement of academic programs.
- 5) Purchase of library books, periodicals, and other educational materials, including telecommunications program materials.
- 6) Tutoring, counseling, and student service programs designed to improve academic success.
- 7) Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.
- 8) Joint use of facilities, such as laboratories and libraries.
- 9) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.
- 10) Establishing or improving an endowment fund.
- 11) Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.
- 12) Establish community outreach programs to encourage development of academic skills and pursuit of postsecondary education.
- 13) Other activities approved by the U.S. Department of Education.

TITLE III – UNALLOWABLE ACTIVITIES

A grantee may **not** carry out the following activities or pay the following costs under a development grant:

- 1) Activities that are not included in the grantees approved application.
- 2) Activities that are inconsistent with any State plan for higher education that is applicable to the institution.
- 3) Activities or services that relate to sectarian instruction or religious worship.
- 4) Activities provided by a school or department of divinity.
- 5) Developing or improving non-degree or non-credit courses other than basic skills development courses.
- 6) Developing or improving community-based or community services programs.
- 7) Purchase of standard office equipment such as furniture, file cabinets, bookcases, typewriters, or word processors.
- 8) Payment of any portion of the salary of a president, vice-president, or equivalent officer who has college-wide administrative authority and responsibility at an institution to fill a position under the grant such as project coordinator or activity director.
- 9) Costs of organized fund-raising including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.
- 10) Instruction in the institution's standard courses as indicated in the institution's catalog.
- 11) Costs for health and fitness programs, transportation, and day care services.
- 12) Student activities such as entertainment, cultural, or social enrichment programs, publications, social clubs or associations.
- 13) Costs of student recruitment such as advertisements, literature, and college fairs.

Title III Organizational Chart



Who Does What? Key People and Places:

The Title III Program is administered by the Title III Officer, who provides overall leadership to the programmatic aspects of the grant. This administrator reports to the Provost and Vice President for Academic Affairs of the University and is assisted in this function by a Staff Assistant, Program Manager and a Project Assistant. The office is currently located in building 52, room 308.

Title III Officer: Implements policies, procedures and budgetary direction in conformity with Federal and University guidelines. The Title III Officer ensures that programmatic and budgetary documentation are in place, monitors the program, and serves on major committees of the University to ensure that Title III activities remain consistent with the institution's plans and priorities. This office also provides the President, Provost, and other senior executives with up-to-date information on the progress of the Title III Program at various intervals, and engages consultants to evaluate the program, as needed.

Staff Assistant: Performs all administrative requirements pertinent to Title III, including reviewing all purchase orders received, preparing invoices to appropriate vendors, initiating and maintaining files. This individual oversees all university travel actions where Title III funding is used, ensuring correct and sufficient documentation of each formal request for use of Title III funding. This individual also assists in implementing procedures necessary for the internal financial control of Title III funds and implements and maintains an efficient accounting and inventory documentation system to provide a clear audit trail of expended funds.

Program Manager: The Title III Program Manager works directly with the Title III Officer in managing, coordinating and assessing program activities for compliance and in preparing official reports, including financial and inventory reports. This individual gathers pertinent information and numerical data regarding the university's comprehensive plan and institutional outcome data; reviews, evaluates and ranks proposals submitted by the University community for sufficiency and adherence to guidelines; and establishes electronic and written information management systems for internal and external report submission.

Project Assistant

The Title III Project Assistant performs a variety of administrative and clerical duties essential to the operational efficiency of the Title III office. This individual organizes and maintains various Title III office files, reviewing and indexing materials in order to assure ready access to filed documents and maintains records of incoming and outgoing correspondence and action documents. The Project Assistant also designs, sets up and maintains electronic filing systems for programmatic materials, files, and activities in accordance with EDGAR to assist other staff.

Activity Directors: Responsible for carrying out the approved program plan and achieving the formulated objectives in their respective activities. Only the Title III Officer

and Activity Directors may initiate requests for use of funds and the requests must be based upon the approved budget. Each Activity Director will have requests provided to the Title III administrative office.

Specific duties include the following:

- ❖ Compile and forward necessary evidence of completion of activity objectives to Title III Administration. Participate in required external evaluations and involve faculty, staff and students as applicable.
- ❖ Attend Title III semi-annual workshops, as announced. Monitor activity budgets and request use of funds in a timely manner to ensure that all funds are used within the grant period.
- ❖ Perform other duties, which may be required to ensure that the objectives of the activity are achieved.
- ❖ Prepare quarterly and annual reports to reflect the impact that the Title III activity has had on the entire operational aspect of the University. Annual reports are to be prepared and submitted to Title III Administration by October 30th of each calendar year.

UNIVERSITY'S ADMINISTRATIVE AND OPERATIONAL POLICIES

UDC has established policies and procedures for the effective and efficient administration of the Title III Program and personnel.

No commitments, which require the use of the Title III funds, may be made prior to clearance from the Title III Officer's office. This is to ensure that the activities are allowable and that funds are available.

All requests involving expenditures from Title III budgets must be forwarded to the Title III office to ensure clearance for allowability and availability of funds prior to submission to the Office of Grants Management or the Office of the Provost for final processing and prior to any commitments by the Activity Director. Requests should be forwarded to the Title III office in sufficient time (10 working days) to allow for clearance prior to processing. All Title III charges must be made to the appropriate line item. Funds designated for one line item may not be used for another line item, unless appropriate budgetary revisions are requested and approvals granted by Title III Administration, prior to an arrangement with an external vendor.

All requisitions must be forwarded directly to the Title III Officer's office for clearance prior to final processing by the Office of Grants Management. Under no circumstance should a business arrangement be made with an outside vendor without satisfying all administrative requirements. Reimbursements will only be made for expenditures that were pre-approved prior to purchase, and original receipts must accompany requests for reimbursement through Title III Administration.

Major changes in the general scheme of any Title III activity must be approved by the Department of Education in writing prior to implementation. Requests for modification of any programmatic objective must be made through the Title III Officer. If approved

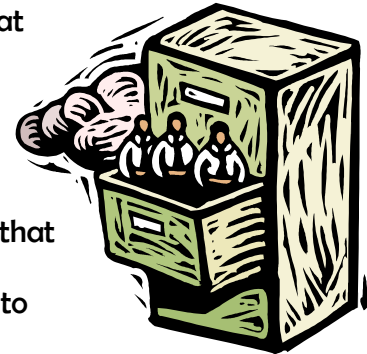
by the President or Provost, modifications will be included in report submissions to the Department of Education. It is only after approval is received from the Department of Education that changes may be put into effect. The Department of Education defines major changes to institutional programs as those changes which redirect the objectives and scope of an activity, changes in key personnel, and continuation of the project for more than three months without the direction of the Title III Project Officer.

PERSONNEL

This category refers to full-time employees who are supported by Title III funds. Hiring procedures will follow University policy with respect to sponsored programs. The Title III Officer must be consulted to ensure that the hiring of persons for Title III activities is within the framework of the approved plan and to ensure that appropriate funds are available to accommodate the action.

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

Human Resources Form 52 must be initiated for any position that will be funded by Title III. The Title III Officer is required to coordinate with HR on this document to ascertain the sources of funding that will be used to fund the position.



This is to ensure that the activities are allowable and that funds are available. "Key personnel" is defined as those professional staff members whose participation is essential to the overall accomplishment of the objectives established for a particular activity. It should be noted that the University is not obligated to offer appointed personnel the budgeted salary amount. Salaries are based on equity, expected duties and responsibilities, and experience and qualifications needed to perform the assigned duties in a particular position.

Individuals hired should clearly understand that they are being supported by Federal funds and that their employment is contingent on the receipt of those funds and the overall success of their activity. The Activity Director must provide Title III Administration with the name of the person and his/her title, job description, and resume within thirty (30) workdays preceding date of hire. Again, the Title III Officer must have involvement on all 52s concerning hiring or separating of personnel being paid from Title III.

Fringe Benefits

Fringe benefits are available to persons supported by Title III funds, as allowed by University policy. For more detailed information concerning benefits please refer to the UDC Department of Human Resources. (located in building 39, 3rd floor)

PROCUREMENT PROCEDURES

When preparing requisitions for processing, the BANNER entry or requisition form should include the department (Title III and the name of the activity), the banner budget code (project), banner expenditure code (index), and the date that the requisition is prepared.

The name of a suggested vendor should be indicated on the documents. Solicitation for goods and services must provide all of the following:

- ❖ A clear and accurate description of the technical requirements for the material, product, or service to be procured.
- ❖ Requirements, which the bidder/vendor must fulfill, and all other factors to be used in evaluating bids or proposals.
- ❖ A description, whenever practicable, of technical requirements in terms of functions to be performed or performance required.



The specific features of brand name or equal description that bidders are required to provide should be included in the solicitation.

In accordance with the Education Department's General Administrative Regulations (EDGAR), recipients of Federal awards, such as Title III, shall take all of the following steps to further the goal of diversity:

- ❖ Ensure that small businesses, minority-owned firms, and women's business enterprises are used to the fullest extent practicable.
- ❖ Make information on forthcoming opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises.
- ❖ Encourage contracting with consortiums of small businesses, minority-owned firms and women's business enterprises when a contract is too large for one of these firms to handle individually.

After properly preparing the requisition for entry into BANNER, attach all relevant documentation, including quotes/bids. Signature procedures as established by the University should be followed. Activity Directors are required to coordinate all requests for purchases through the Title III Administration.

Under no circumstances should any Title III representative engage in any formal contract or other commitment with outside vendors without prior approval and appropriate process of required requisition documentation through Title III office.

Procedures governing acquisitions of supplies, equipment, travel and payment for services rendered by University personnel apply equally to staff and faculty in Title III activities. The standard requisition forms of the University should be used for travel. The BANNER system is used to give the Purchasing Department detailed and specific information regarding items to be purchased. The requesting individual, usually the Activity Director, must adequately describe procurement needs and communicate the same to the Title III staff assistant.



- ❖ Suggested vendor and address: All catalog items should reflect page and item numbers. Enter the vendor's name, address and telephone number in the spaces provided.
- ❖ School or Department: Indicate the name of the School, Department, or Title III Activity initiating the request

- ❖ **Date:** Indicate the current date of the requisition.
- ❖ **Budget Affected:** Indicate the affected budget code to be charged. If unsure about sub-account information, (please verify with Title III Administration prior to document submission).
- ❖ **Quantity:** Indicate the amount needed for each item.
- ❖ **Descriptions:** Clearly state the description of supplies, materials or equipment, and service specifications.
- ❖ **Unit Price:** Indicate the unit price of the requested items. This column must be completed before submission to the Title III Administration.
- ❖ **Extension:** Determine the extended cost (quantity x price) of the item(s) requested.
- ❖ **Ordered by:** The signature of the requisitioner should be entered in the space provided. The signature of the Activity Director or Senior Administrator must be reflected on the document in order for Title III Administration to continue the processing requirements.

Once the Activity Director decides to initiate a request, it is provided to the Title III office for approval. The Activity Director and the Title III Staff Assistant should maintain a copy of the request for record purposes.

Once the order has been placed by the Purchasing Department and the invoice received by Accounts Payable, the Title III Officer will approve through Banner for verification of ordered merchandise.

*** Contact the Title III office once merchandise/services have been received.**

EQUIPMENT

Purchase of equipment costing \$5,000 or more shall adhere to the following guidelines and governing directives.

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

Sole Source Procurement - Sole Source Procurement occurs when only one vendor is known to supply a particular item requested for purchase. This method of purchasing involves no competition and should be avoided as much as possible. Final responsibility in determining whether an item is a proprietary item and should be purchased from a sole source rests with the UDC Office of Procurement.

Emergency Purchases

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

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

An equipment inventory form must be completed and provided to Tide III Administration for all equipment purchases. In addition, a statement that clearly identifies the control system in effect (which ensures that adequate safeguards are in place to prevent damage or theft to the equipment) should be inducted on the inventory form. The purchase of equipment with Title III funds may be permissible only after receiving approval from Title III Administration.

Equipment Management Requirements (EDGAR 7434/8a32)

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

Property records shall be maintained accurately. Retention and access requirements for these records are explained in subpart D of the Education Department General Administrative Regulations (EDGAR). For each item of equipment, the records shall include:

- ❖ A description of the equipment, including the manufacturer's model number, if any
- ❖ An identification number
- ❖ Identification of the grant under which the recipient acquired the equipment
- ❖ The information needed to calculate the Federal share of the equipment including acquisition date and unit acquisition cost
- ❖ Location, use, and condition of the equipment and the date the information was reported

- ❖ All pertinent information on the ultimate transfer, replacement, or disposition of the equipment

A physical inventory of equipment shall be taken {in accordance with EDGAR Section 74.34(f)} and the results reconciled with the property records every two years to ascertain the existence, current utilization, and continued need for the equipment. A statistical sampling basis is acceptable. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the cause of the differences.

A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the equipment. Any loss, damage, or theft of equipment shall be investigated and fully documented. All property acquired with Title III funds shall be tagged for identification purposes.

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

Where equipment is to be sold, the Federal Government has a right to part or all of the proceeds. Under no circumstances should equipment procured with Title III funds be sold without the written permission of the Title III Officer.

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

SUPPLIES

"Supplies" means materials or provisions stored and dispensed when needed.

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



PROGRAM REPORTING REQUIREMENTS

The U.S. Department of Education requires the University to maintain records that show the amount of funds awarded under each grant; how the spending of funds relates to the overall effectiveness of the institution; how the grant funds were used; the total scope of the project and other records to aid in facilitating an effective audit.

The University must keep records that demonstrate compliance with program requirements and records that show significant project expenses and results. These records must be retained for five years after the final financial reports submitted for the activity for which the funds were granted.

Applicants for continued funding under Title III proposed activities, which are approved by University officials for continued funding under Title III, must submit an application which provides the following information:

- **An Activity Narrative:** The activity narrative for continuing activities will be comprised of the parts that are described in the following paragraphs.
- **An Annual Performance Report:** The annual performance report for activities will be submitted annually during the month of October and will reflect accomplishments from October 1st of the previous calendar year to September 30th of the current year. In the event that present year objectives have not been satisfied, specific reasons must be included. If applicable, a description of any modification to the current plan of operation should be included.
- **Activity Objectives for the Next Budget Period:** Objectives must be described in clear, concise, measurable terms and must include the attainment measurement in qualitative or quantitative terms, to the extent possible.

Budget Revisions

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

The Request for Budget Revision Form may be obtained from the Office of Grants Management or Title III Administration. The form must be returned to Title III Administration signed by persons making the request.



Upon completion of review and appropriate coordination, Title III Administration will forward the Request for Budget Revision Form to the Office of Grants Management. Activity Directors are expected to carefully monitor their program objectives and related expenditures to ensure that milestones are being completed in a timely manner and that expenditures are commensurate with accomplishments.

Periodic reports of expenditures and balances per line item will be provided by Title III Administration to assist the Activity Director with their managerial responsibilities. These

reports should be used in conjunction with records of the Activity Directors to note trends toward over expenditures and/or under expenditures and to take corrective steps.

Miscellaneous Expenses:

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

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

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

Expenses Not Covered:

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

Accountability and Evaluation:

- ❖ **Coordination:** Each project shall be developed so as to be in coordination, to the extent feasible, with other programs at the University with similar educational purposes. Such coordination shall continue during the period in which such project remains in effect.
- ❖ **Evaluation:** Each project shall include procedures for effective evaluation of the extent to which project objectives are being met.
- ❖ **Site Visit:** Site visits will be made by representatives of the Department of Education to: (a) review program accomplishment and management control systems, and (b) provide such technical assistance as may be required.
- ❖ **Monitoring by Recipients:** Recipients shall constantly monitor the performance of federally supported activities to assure that adequate progress is being made toward achieving the goals of the Activity. This review shall be made for each function or activity as set forth in the approved grant application or contract document.
- ❖ **Records Related to Grant Funds:** A grantee shall keep records that fully show: (a) the amount of funds under the grant; (b) how the grantee uses the funds; (c) the total cost of the project; (d) the share of the cost provided from other sources.
- ❖ **Records Related to Compliance:** A grantee shall keep records to show its compliance with program requirements.
- ❖ **Records Related to Performance:** A grantee shall keep records to identify significant project experiences and results and use the records to (a) determine progress in accomplishing project objectives; and (b) revise those objectives, if necessary.
- ❖ **Records Retention Period:** Unless a longer period is required under 34 CFR part 74, a grantee shall retain records for five (5) years after the completion of the activity for which it uses grant funds.
- ❖ **Unexpended Funds:** In the event that the amounts previously awarded have not been obligated pursuant to the approved project and in the judgment of the Secretary, will not be obligated for such purposes, the Secretary may upon notice to the recipient, reduce the amount of the grant or contract to an amount

consistent with the recipient's needs pursuant to regulations regarding termination and suspension for cause.

Termination and Suspension for Cause: Assistance under any Federal program to which this part is applicable may be terminated in whole or part if the Secretary determines, after affording the recipient reasonable notice and an opportunity to be heard, that the recipient has failed to carry out its approved project proposal in accordance with the applicable law and the terms of such assistance, or has otherwise failed to comply with the law, regulations, assurance, term or condition of the grant or contract.

TRANSFER OF FUNDS

Due in part to a provision cited in 34CFR 74.25 of EDGAR, the transfer of funds from one Activity to another during a grant year is permitted with the approval of the Title III Officer in consultation with the Provost. In general, grantees no longer have to seek departmental approval for budget transfer in non-construction projects except as stated in 74.25 (c) and in cases where the Department has imposed a 10% limitation on cumulative budget transfers for grants over \$100,000,80.30 (c) (I)(ii).

Reminder for Budget Transfers:

- Must be to carry out activities that are within the approved scope of the application.
- Must meet the test of reasoning or reasonability, allocability, and allowability.
- Must meet other federal statutes, regulations, and grant conditions.

The Title III Director cannot process requests for payment of activity expenses unless all required documentation is submitted. The various forms required in fiscal monitoring of the Title III grant are detailed in this manual. Additional copies of these forms may be obtained by the person making the request. A copy of all documents needs to be retained for the Activity Director's files.

The Budget Office will provide a statement of the original budget, current balance, and encumbrances for each line item to Title III Administration. Activity Directors will submit a proposed budget to Title III Administration early in the spring semester of each academic year.

For example:

Budget Analysis - Are you on target in utilizing your grant funds? If not, explain any discrepancy. That is, if the grant year is half over, you should have depleted approximately half of your allocated funds.

An Evaluation Plan - The evaluation plan must provide a detailed assessment of the implementation strategies and quantifiable or qualitative evidence of the attainment of the objectives for each activity for each grant year.

An Activity Budget - All budgeted items are to be reflected in the format provided by the Department of Education, including major items such as Personnel, Fringe Benefits,

Travel, Equipment, Contractual Services, Students Wages and others that allow the activity to function as efficiently as intended.

TIME AND EFFORT REPORTING REQUIREMENTS

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

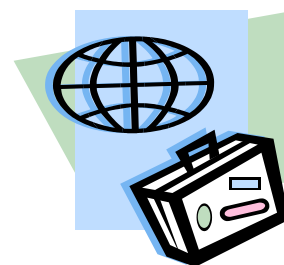
Each semester the Title III office provides notification to all employees supported by a federally funded program, of the requirements needed to complete a Time and Effort Certification form.

Each employee is required to complete the certification form from the Title III office when notified. The Title III Office will provide appropriate times for employees to complete this requirement in a timely manner.

Title III Administration will provide additional notification to subject employees to further ensure that this requirement is satisfied in a timely manner.

TITLE III TRAVEL POLICIES AND PROCEDURES

Federal direction requires specific documentation of all travel funded by the Title III grant. Three forms, Request and Authorization for Official Travel, Travel and Related Expenses Voucher, and Title III Travel Report Form are to be used, along with other supporting material, to provide the necessary documentation concerning travel as described in the approved budget.



The Title III Travel Report Form needs to be attached to the expense voucher covering the expenses related to the travel. Necessary and reasonable expenses for lodging and meals will be allowable and paid in accordance with existing University policy.

There are federally published limits governing meals and incidentals allowed for certain cities in the U.S. Registration costs and conference fees are allowable as travel expenses.

Specific Travel Policies and Procedures

1. Persons whose travel is supported by Title III funds should complete a Request and Authorization for Official Travel Form. Attach pertinent information/details regarding travel to justify the expenditure of funds and have travel itineraries approved prior to the actual travel.
2. Within five (5) days after return from travel, travelers must submit original travel expense receipts and the Travel and Related Expenses Voucher-form to Title III Administration. (Reimbursable original receipts must be documented.)

3. Automobile travel will be reimbursed at the rate of *52 cents per mile when submitted on the proper form for reimbursement. *(Note: Subject to University policy at time of submission)
4. Automobile rental is only allowable for travel to official destinations when it is clearly more cost effective and prior approval has been given by the Title III Officer.
5. Dean's/Vice President's prior approval is required for all travel.
6. Prepayment checks are allowed only for transportation, hotel and registration costs.
7. When a traveler purchases his or her own airline ticket, reimbursement will occur after travel.
8. Failure to submit original expense receipts and the Title III Travel Report form will adversely affect consideration for future travel using Title III funding during the fiscal year.
9. All international travel involving Title III funds **must** have the approval of the University's President as well as approval by the U.S. Department of Education.

Maintenance of Records

Records of budgetary expenditures for Title III Activities will be maintained by Title III Administration and the Office of Grants Management.

Each Activity Director is expected to maintain records of expenditures for the specific activity. This additional record keeping will provide up-to-date information relative to the availability of funds and will serve as a cross-reference in the event of contradiction of budget balances maintained in other offices associated with the accounting aspects of the program. Periodic budget reports will be provided to Activity Directors by Title III Administration.

Activity Directors are expected to maintain records of the actual time spent on activities by personnel in the specific activity. It is important that the University be able to document this time in order to meet internal and external audit requirements.

Title III employees will be notified each semester by a representative of the Title III office to sign the Time and Attendance Certification form.

Reporting Progress In Achieving Title III Objectives

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

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

External Evaluation

The entire Title III grant, as well as the individual grant activities, will be evaluated by an independent external evaluator at the discretion of the University President/Provost. The evaluator will conduct both a formative and a summative evaluation. Evaluator will look at all aspects of grant activities including a comparison of actual accomplishments to the goals established for the period, documentation and project expenditures, as well as the effect of the project in strengthening the overall operational aspects of the University.

Quarterly Reports of Progress: In order to provide systematic documentation of the achievement of objectives for each of the grant activities, each Activity Director will complete a report of progress in achieving grant objectives each quarter. The report is to be placed on the forms provided by Title III Administration. A copy of the form is included in this manual. Quarterly Reports are due according to the schedule below:

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



Annual Progress Report: In addition to the quarterly report, each Activity Director will submit an evaluation of the extent to which objectives have been met during the grant year. This report should be in narrative format, depicting the significant impact funding has had on the area, allowing contribution to the overall strategic plans of the University.

A final narrative summary of the year's activity is due October 30th after the grant year in which Activity Directors complete the following tasks:

- Summarize in narrative form all activity from the quarterly reports for the past twelve (12) months.
- Indicate status of your budget (i.e., "all funds expended", or "some funds remain in the following line items," and explain why).
- Address institutional impact, in this section. Step back from the immediate view of discrete tasks to view the overall impact to the institution. In a reflective, semi-evaluative mode, put your grant activities into the larger context of the University as a whole. Ideas for doing so:
- Describe the direct or indirect positive impact the grant activities are having on other areas of the University. The intent is to describe the "ripple effect" of your activity within the institution.

- Describe any cooperative activities with other units and staff of the University (non-Title III) and/or with other Title III activities, and indicate their impact on the institution. Include the expertise of non-grant personnel devoted to the project.

Reporting Requirements and Expectations

QUARTERLY and ANNUAL reports are to be completed by the School/College coordinators and submitted to the Activity Director. The quarterly reports are due on the 15th of the month following the end of each quarter and the annual reports are due by the 30th of the month following the end of the Title III fiscal year. These reports should include a detailed description, which explains how Title III funds have helped the college/schools to meet their needs and objectives. The objectives, job descriptions and performance evaluations provide the basis for the quarterly and annual reports prepared by the Activity Directors. The reports should include a specific description of how Title III student employment has helped to address the problems identified in the respective school's objectives.

1. The quarterly report should provide information regarding the impact of the Title III funds expended up to that point.
2. The annual report should provide a composite of information from all of the quarterly reports and it should indicate how Title III funds have helped to address the problem identified in the unit's objectives.

STUDENT PART-TIME EMPLOYMENT

Title III is designed to enhance the scholarly and professional growth of students at the University of the District of Columbia by strengthening academic resources. Undergraduate and Graduate students' academic success and retention are enhanced by the provision of student peer counseling and tutoring services. Funds are provided for student lab/office assistants, peer facilitators and tutor counselors, through student stipends with Title III Funds.

Student Employment

Title III student stipends are administered by the School/College and students are selected for employment by their respective departments. Student employees are typically employed as tutor counselors and peer facilitators at a rate of pay determined by the Title III Administration. Students normally work during regular University operating hours unless otherwise approved. **STUDENTS WILL NOT BE PAID FOR WORKING ON OFFICIAL UNIVERSITY HOLIDAYS.**

Each School/College must develop a program, which identifies a specific need that may be met with Title III assistance. The programs should facilitate the students' ability to overcome problems encountered in the overall academic experience, as outlined by faculty members. Deans should not make commitments for funds until the Title III Administrator notifies them that funding has been approved. Each College will receive notification of annual allocations and will be responsible for monitoring individual budgets and adhering to budget constraints.

Process for Student Employment

Certain procedures must be carried out prior to hiring student employees under Title III. The student employment process is as follows:

1. Job descriptions are to be developed and posted in the respective College/Schools; students within each respective College/School can then apply for these positions. The job descriptions should be kept on file in the Office of the Dean. Along with job descriptions, class schedules and resumes of students selected should be submitted to the Title III Office for each student supported with Title III funds.
2. A comprehensive list of all Title III student employees, including job titles and supervisors should be compiled by each College/School. This list is to be maintained in the Dean's office and a copy is to be forwarded to the Title III Office.
3. Information regarding the student's specific job duties, work hours and immediate supervisor is to be forwarded to the Title III Office. Submission of pay for student stipends should include a timesheet signed by the appropriate College/School representative. There are three (3) types of forms that must be submitted initially in order for Title III student employees to be paid: Resume, current class schedule, and Title III Student Agreement form.
4. A student's timesheet log is to be completed on a daily basis for the hours worked and signed by student employees prior to submission. The timesheet log must be reviewed and signed by the supervisor prior to submission to Title III office.
5. All timesheets are submitted to the Title III Office on the 1st and 16th of every month. This allows for the accounting department to process all stipends in a timely manner (10-14 business days).

Evaluation of Peer Facilitators /Tutor Counselors

An evaluation form is to be completed by the respective supervisor for each Title III student employee. These evaluation forms are to be submitted by the school coordinators along with the final payroll at the end of each semester.

CONSULTANT SERVICES

Consultants may be engaged to assist in activities only as described in the Activity budget and with prior approval of Title III Administration. Consultants are normally used either as workshop presenters or as experts who provide advice or service. Information needs to be provided on the Consultant Statement of Work Form.

Any payment in excess of \$150 per day plus expenses, must be justified in writing to the Title III Officer. After the Approval/Request for Consultant Form has been signed by the Title III Officer, a Consultant Statement of Work Form and a W-9 need to be signed by the Consultant and submitted to the Activity Director and/or the Title III Office for further processing.

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

Payment will be made only after documentation of services has been received and approved by the Activity Director or Title III Administration. Travel related expenses can be paid to a consultant upon request from the Activity Director with appropriate documentation, but these costs must be included in the Consultant Scope of Work Form. Negotiation of the contract must be channeled through the Title III office to ensure compliance with federal regulations covering such service.

The services of consultants and any arrangements associated with their visit will be cleared in advance with the Title III Officer to ensure that the purpose of the consulting is in line with the approved plan for the activity and that funds are available.

The Consultant Scope of Work Form must be completed and signed by both the Activity Director and the consultant prior to the performance of any services. A copy of the form must be submitted to the Title III Office prior to the consultant's visit. Payment for services will not be honored unless this form is attached and contains an original signature from the consultant.

All rules and regulations, that apply to travel by University personnel, also apply to consultants. Request for consultant's check must be accompanied with appropriate documentation (receipts, and/or statement of work performed).

Reimbursement for expenses incurred in entertainment or extending hospitality to consultants is prohibited by federal regulations.

TITLE III IN A NUTSHELL:

- The official documents that authorize and explain the Title III program include the Education Department General Administrative Regulations (EDGAR), OMB circular A-133, and the U.S. Department of Education award letter.
- Title III funds may not be used to supplant any existing activities or positions currently funded by other sources. Further, it is expected that Title III funded activities eventually will be transitioned into the University's existing budget.
- Unexpended prior year funds may be carried over from one budgeted period to another with approval of the U.S. Department of Education.
- Unexpended prior year funds may be used for any allowable cost that falls within the approved scope of the project.
- All faculty/staff international travel using Title III funds must have written prior approval from the University President as well as the U.S. Department of Education.
- **No first-class air fare is allowable under Title III.**
- New activities may be considered during the Spring Semester of the academic year (February-April) for implementation on or after October 1st.
- Whenever there is doubt, UDC's assigned Program Officer from the U.S. Department of Education will be consulted to determine the allowability of an expenditure.

APPENDIX

THE University of the District of Columbia
AND

SCOPE OF WORK (DUTIES):

TIMELINE AND DELIVERABLES:

TERM OF CONTRACT:

The term of this contract shall commence on _____ and shall not exceed _____ .

PAYMENT:

Contractor shall be paid an honorarium of \$ _____ .

The University will pay the Contractor the total sum not to exceed _____

Payment will be made upon receipt and acceptance of an invoice.

Signature

For University of the District of Columbia

TITLE III END OF YEAR CUMULATIVE STATUS REPORT

NAME OF ACTIVITY

ACTIVITY DIRECTOR

REPORT PERIOD

DATE SUBMITTED

1. Discuss any major activities.
2. Discuss any problems you are experiencing in meeting the objectives of the activity.
3. List (or attach a list) of all equipment and supplies purchased with grant funds during this year.
4. List (or attach a list) of the College's contribution to the project.
5. Are you on target in utilizing grant funds? (If not, list any discrepancies)

6. List (or attach a list) of all grant related travel as of this date.

7. Discuss any cooperative activities with other units of the College during the year.

8. Indicate the influence of the program staff on the effectiveness of program implementation.

9. Describe the status of your project in relationship to objectives to be achieved even on a proportional basis in the second year.

10. Describe the impact of your activity on the College as a whole.

TITLE III QUARTERLY PROGRESS REPORT

NAME OF ACTIVITY

ACTIVITY DIRECTOR

REPORT PERIOD

DATE SUBMITTED

1. Discuss the major activities for this quarter.
2. Discuss any problems you are experiencing in meeting the objectives of the activity.
3. List (or attach a list) of all equipment and supplies purchased with grant funds during this period.
4. List (or attach a list) of the College's contribution to the project.
5. Are you on target in utilizing grant funds? (If not, list any discrepancies)

6. List (or attach a list) of all grant related travel this month.

7. Discuss any cooperative activities with other units of the College during this month.

8. Indicate the influence of the program staff on the effectiveness of program implementation.

9. Describe the status of your project in relationship to objectives to be achieved even on a proportional basis in the first year.

10. Describe the impact of your activity on the College as a whole.

University of the District of Columbia
Office of the Vice President for Academic Affairs
Special Assistant to the VPAA and Title III Officer
4200 Connecticut Avenue, N.W., Bldg. 52, Suite 308
Washington, D.C. 20008
(202) 274-5718

Month, Day, Year

Dear Prospective Student Worker,

As of October 1, 2012, the following information applies to all student workers paid under the Title III grant:

REQUIREMENTS FOR TITLE III STUDENT WORKERS

1. A UDC student in good academic standing and currently registered
(a minimum 2.8 gpa is desired)
2. A current schedule of classes
3. An up-to-date resume'
4. Available to work 10-20 hours per week
(Student workers will not be paid for hours exceeding 20 per week and may not change or "make up" hours.)
- *5. Assignment sites may change based upon institutional need.

Sincerely,

Ernesta P. Williams
Spec. Asst. to VPAA & Title III Ofcr.

I understand and agree to the requirements for Title III student workers as enumerated above.

Signature

Date

**UNIVERSITY OF THE DISTRICT OF COLUMBIA
TITLE III
Time and Effort Report**

Employee's Name: _____
 Campus Address: _____
 Period Ending: _____
 Position Title: _____

Source of Funding	Activity	% of Time
Title III – U.S. Dept. of Education		
TOTAL		% 100

Employee's Signature: _____

Date: _____

Supervisor's Signature: _____

- The reports must be based on an after-the-fact determination of the employee's actual activities (i.e., these cannot be estimated in advance). For example, the distribution of the time might be determined based on notes from personal calendars and/or estimates of time spent on various activities.
- The reports must be signed by the employee or a responsible supervisory official.
- Reports must coincide with one or more pay periods and be used to reconcile salary and fringe benefit costs to appropriate accounts on a regular (preferably monthly) basis.

Notes

Notes

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