

Title III Policies and Procedures Manual



**Tuskegee University
Tuskegee, Alabama**

TUSKEGEE UNIVERSITY

TITLE III PROGRAM

FOREWORD

Within Tuskegee University's Business and Finance department, there is an organized Office of Grants and Contract Accounting. A Grants Specialist will be assigned to the Title III accounts. This office oversees the management and accounting for all grant and contract funds for Tuskegee University.

When the grant award document is received in the Office of Sponsored Programs, staff members are responsible for the following: 1) developing the appropriate budget lines according to guidelines, 2) preparing the Budget Adjustment Request (BAR) Form for appropriate signatures by University officials, 3) notifying the Title III Director/Coordinator of the approved BAR, and 4) submitting a copy of the approved budget, fiscal reporting forms and any grant terms or conditions that apply, to the Title III Director/Coordinators and the Office of Grants and Contract Accounting.

Requests for expenditures are initiated by Activity Coordinators, reviewed by the Title III Coordinators and approved by the Title III Director and then screened by the Grants and Contract Accounting Office for availability of funds and appropriateness under the grant. The Office of Grants and Contract Accounting keep an up-to-date line balance on each grant to avoid exceeding allowable costs. Financial reports are prepared in this office and assistance is given to the Title III Coordinators. The Title III Director signs all commitment documents, making sure the account number and proper purchasing code are shown. The University fiscal officer follows long-established procedures for procurement, payment, and fiscal accountability. Tuskegee University's accounting system follows the format developed by the National Association of College and University Business Officers as confirmed by the audit guide for colleges and universities published by American Institute of Certified Public Accountants.

INTRODUCTION

The Title III Strengthening Historically Black Colleges and Universities Program provides grants to Historically Black Colleges and Universities (HBCUs) to assist these institutions in establishing and strengthening their physical plants, academic resources, fiscal stability and student services so that we may continue to participate in fulfilling the goal of equality of educational opportunity. This program came to life because the President and Congress of the United States concluded that special funding should be allocated to strengthen HBCUs because it determined that:

INSTITUTIONAL OVERVIEW

Tuskegee University is both an independent and a state-related institution of higher education.

Undergraduate instruction at Tuskegee University is organized under seven major areas: the Andrew F. Brimmer College of Business and Information Science; the College of Agriculture, Environment and Nutrition Science; the College of Arts and Sciences; the College of Engineering; the College of Veterinary Medicine, Nursing, and Allied Health; the Robert R. Taylor School of Architecture, and Construction Science; and the School of Education. The curricula for the seven colleges currently offer 49 degrees including 35 Bachelor's, 11 Master's, a Doctor of philosophy in

THE TUSKEGEE UNIVERSITY STATEMENT OF MISSION

INSTITUTIONAL MISSION AND PURPOSE

Tuskegee University is a national, independent, and coeducational institution of higher learning that has a historically unique relationship with the State of Alabama. The University has distinctive strengths in the sciences, architecture, business, engineering, health and other professions, all structured on solid foundations in the

We develop superior technical, scientific, and professional education with a career orientation.

We stress the relationship between education and employment, between what students learn and the changing needs of a global workforce.

Research:

We preserve, refine, and develop further the bodies of knowledge already discovered.

We discover new knowledge for the continued growth of individuals and society and for the enrichment of the University's instructional and service programs.

We develop applications of knowledge to help resolve problems of modern society.

Service:

We serve the global society as well as the regional and campus community and beyond through the development of outreach programs that are compatible with the University's educational mission, that improve understanding of community problems, and help develop relevant alternative solutions.

We engage in outreach activities to assist in the development of communities as learning societies.

LAND GRANT MISSION

GOVERNANCE, LEADERSHIP AND ORGANIZATION OF THE COLLEGE

Tuskegee University is a State-related, independent, nonprofit institution of higher education that has a special and unique relationship with the State of Alabama. Established initially in 1881 by the State Legislature as a fully publicly controlled institution, the University became quasi-public and independent in 1892. The Board of Trustees establishes the governance and organization pattern of the University. It is the legally empowered entity to develop policies, resources, and direction for the University. The Board of Trustees delegates to the President the authority to organize the pattern of administration, develop the faculty and the staff, and to engage in further delegations of authority to selected general and associate general officers and to the faculty of the University for the detailed administration of the University. The Board of Trustees exercises ultimate institutional authority and control and its policy statements take precedence over all other institutional statements, documents and policies. But the Board does not intrude on the prerogatives of the day-to-day operation and administration of the institution which are delegated to the President.

The structure and work of the Board are stated in the University's Charter and By-Laws. These have been updated periodically via reviews and amendments by the Board and the President, and are presented in what follows their latest form as the Tuskegee University Governance Document. According to the By-Laws:

The control and management of Tuskegee University shall be vested in a Board of Trustees of not less than seventeen or more than twenty-five members. Twenty members shall be self-perpetuating and the Governor of the State of Alabama shall appoint five.

Officers of the Board

The Officers of the Board of Trustees shall be a Chair, Vice Chair, Second Vice Chair and a Secretary who shall be elected at each annual meeting for a period of one year or until their successors are elected. The Chair and Vice Chair shall be Trustees of the University, but the Secretary may or may not be a Trustee.

Title III Coordinators will work alongside the Title III Director. The Title III Coordinators will have the following specific duties in addition to assisting the Director with their duties:

1. Assist the Director in ensuring that the operation of the TU Title III program is consistent with the goals of the overall institutional HBCU plan.
2. Serve as liaison between activity directors and the director.
- 3.

Policies and Procedures

Tuskegee University's experience in carrying out projects/grants/contracts that are funded by the Federal government, private agencies and foundations will help to ensure effective and efficient administration of this project. The following policies and procedures will be used:

1. The Tuskegee University Policies and Procedures Manual, currently in use for the Title III Program will serve as a guide. The manual gives the rules and regulations of the Department of Education (DOE) and of Tuskegee University, regarding Title III programs.

Regulations regarding fiscal control, purchasing, travel, code of conduct, procedural requirements, and additional general information are included for the optimum knowledge of project staff. Periodically, the manual is updated to include new rules and regulations and/or changes that occur within the Title III program.

2. A job description for each staff member will be required.
3. Meetings with activity coordinators will be held to plan and discuss common concerns, professional conferences, and plan evaluations (internal and external).
4. Activity coordinators will be required to submit semi-annual reports to ensure that project objectives are being met as scheduled.
5. Requests for equipment must be justified and must show how the equipment will be used in implementing the activity.
6. Travel will be closely monitored by using a written travel report form which will give details and show relevance to the project of each trip.

Use of Federal Funds

The President, Vice President of Business and Finance, and the Title III Director will ensure that Title III funds will be used to supplement and not supplant or replace funds otherwise available to the institution. New personnel, employed to work with Title III funded activities or who serve as replacement faculty members for those who will be released to carry out activities funded by Title III, will be paid from federal funds. Additionally, faculty members who carry out activities during the summer will be paid by the grant without replacement costs because faculty are on academic year contracts and funds for the summer would not be otherwise available to the institution. The University uses Federal funds only to carry out projects for which funds are awarded. The Vice President of Business and Finance will ensure that Title III funds are administered in accounts separate from the regular operation of the departments administering Title III

2. Changes to key personnel's other duties and responsibilities (i.e. being appointed Dean).
3. Reductions or increases in the percent of time devoted to the project.

No prior approval is required for pre-award costs incurred up to 90 days before the budget period begins. There must be a reasonable expectation that the grant will be awarded; expenditures are incurred at the applicant's own risk. ED funds are not available for drawdown until the budget period begins.

No prior approval is required for a one-time extension of the project period for up to one year. The scope or objective of the project cannot be changed. This extension cannot be merely for the purpose of exhausting in expended funds. ED must be notified of planned extension no later than 10 days before the end of the project period.

Budget transfers among direct cost categories may not exceed 10% of the total budget. Unobligated fund balances are carried forward automatically to subsequent funding

Equipment and Inventory Control

Title III equipment acquired by the College is vested in the institution subject to the college meeting the conditions for such acquisitions. The University must use the equipment in the project or program for which was acquired as long as needed, whether or not the project or program continues to be supported by Federal Funds. When no longer needed for the original project or program, the University may use the equipment in connection with other federally-sponsored activities.

The University's inventory/property management system must adhere to certain standards in order to account properly for equipment purchased with Federal funds. Equipment records must be maintained accurately and must include, at a minimum, the following information:

- 1) a description of the equipment
- 2) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.
- 3) Source of the equipment, including the award number.
- 4) Whether title vested in the University or the Federal Government.
- 5) Acquisition date (or date received, if the equipment was furnished by the Federal Government) and cost.
- 6) Information from which one can calculate the percentage of Federal participation in the cost of the equipment (not applicable to equipment furnished by the Federal Government).
- 7) Location and condition of the equipment and the date the information was reported.
- 8) Unit acquisition cost.
- 9) All pertinent information on transfer, replacement, or disposition of the equipment.

The Federal Government requires that a physical inventory of equipment be taken and the results reconciled with the equipment records at least one every two years. Any differences between quantities determined by the physical inspection and those shown in

The purchasing of equipment and supplies using Title III funds will follow the same