

Southern University at New Orleans



Grants, Sponsored Research and Contracts HANDBOOK

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INTRODUCTION

This HANDBOOK represents a compendium of policies and procedures emanating from the broader Southern University System Grants and Contracts Manual and other governing policies.

It has been prepared as a convenience for SUNO's staff, administrators and faculty regarding selected policies and procedures that most affect grant administration at SUNO. Specifically, this HANDBOOK is intended as an easy to use reference guide for SUNO personnel that will:

Provide an overview of the relevant policies and procedures that affect administration of sponsored programs at SUNO.

Acquaint SUNO personnel with the operations of the office of Grants, Sponsored Research and Contracts.

Describe the processes for identifying funding opportunities, preparing and submitting proposals, and

Provide guidance in post-award administration, from receipt of award to closeout.

Supplementary or additional clarifying information may be obtained from the Southern University System Employment Guidelines Manual, the S.U. System Purchasing Manual and S.U. System Grants and Contracts Manual. The Southern University System manuals supercede information contained in this HANDBOOK. When in doubt about a policy pertaining to external funding, contact the Director of the Office of Grants, Sponsored Research and Contracts or the Budget Manager/Post Award Administrator. You may also find the contents of this handbook on the University's web site at www.sunu.edu/grants.

Dr. William Belisle, *Director, Grants, Sponsored Research and Contracts*
Whitney Barconey, *Budget Manager/Post Award Administrator*

**GRANTS,
SPONSORED RESEARCH
and
CONTRACT**

GRANTS, SPONSORED RESEARCH AND CONTRACTS

In general, the **Director of the Office of Grants, Sponsored Research and Contract** is responsible for assisting faculty, staff and administrators with *pre-award* services; such as, preparing and submitting proposals, developing and conducting workshops and seminars and providing regulatory oversight. Some specific services are:

- 1) Providing information regarding grant opportunities;
- 2) Assisting in obtaining information and forms related to proposal preparation and submission;
- 3) Assisting in the development of budgets for grant and contract proposals;
- 4) Assisting with the internal proposal routing and approval process;
- 5) Providing the Principal Investigator / Project Director with the applicable regulations, policies and procedures pertaining to the administration of sponsored projects.

Post-award services are provided by the **Budget Manager / Post Award Administrator**.

Some specific functions performed include:

- 1) In conjunction with the Vice Chancellor for Finance and Administration, engages in fiscal and business negotiations with awarding agencies;
- 2) Facilitates the internal and external contract approval process;
- 3) Set up new awards within the university and Southern University System;
- 4) Provides contract administrative support, monitors contractual compliance;
- 5) Oversee the closeout process for all sponsored projects.

APPLYING FOR EXTERNAL FUNDING

Locating Funding Opportunities

Submitting a Proposal

The Proposal Budget

Research Protection Policies (Reserved)

LOCATING FUNDING OPPORTUNITIES

There are as many sources of information about funding opportunities as there are funding opportunities, literally thousands from the federal, state and local governments, from foundations and individual corporations. This Handbook will not attempt to list all the possible sources of funding opportunities. Following are some examples of funding opportunities with their electronic addresses:

<i>FEDERAL SOURCES:</i>	
Catalog of Federal Domestic Assistance	http://www.cfda.cfd.gov
Federal Register	http://www.access.gpo.gov/su_docs/aces/aces140.html
Commerce Business Daily	http://cbdnet.access.gpo.gov
Department of Education	http://www.gcs.ed.gov
National Science Foundation	http://www.nsf.gov
National Institutes of Health	http://www.nih.gov
National Endowment for the Humanities	http://www.neh.fed.us
Department of Transportation	http://www.dot.gov
Housing and Urban Development	http://www.hud.gov
Dept. of Health & Human Services	http://www.os.dhhs.gov:80/progorg/grantsnet
<i>STATE:</i>	
Louisiana Board of Regents	http://www.regents.state.la.us/
<i>FOUNDATIONS:</i>	
Foundation Center	http://fdncenter.org/grantmaker/index.html
GrantsNet	http://www.grantsnet.org
GrantSelect	http://www.grantselect.com
The Ford Foundation	http://www.fordfound.org
W. K. Kellogg Foundation	http://www.wkkf.org

SUBMITTING A PROPOSAL

NO PROPOSAL MAY BE SUBMITTED ON BEHALF OF THE UNIVERSITY WITHOUT PROPER NOTICE TO THE OFFICE OF GRANTS, SPONSORED RESEARCH AND CONTRACTS AND THE CONSENT AND APPROVAL OF THE CHANCELLOR.

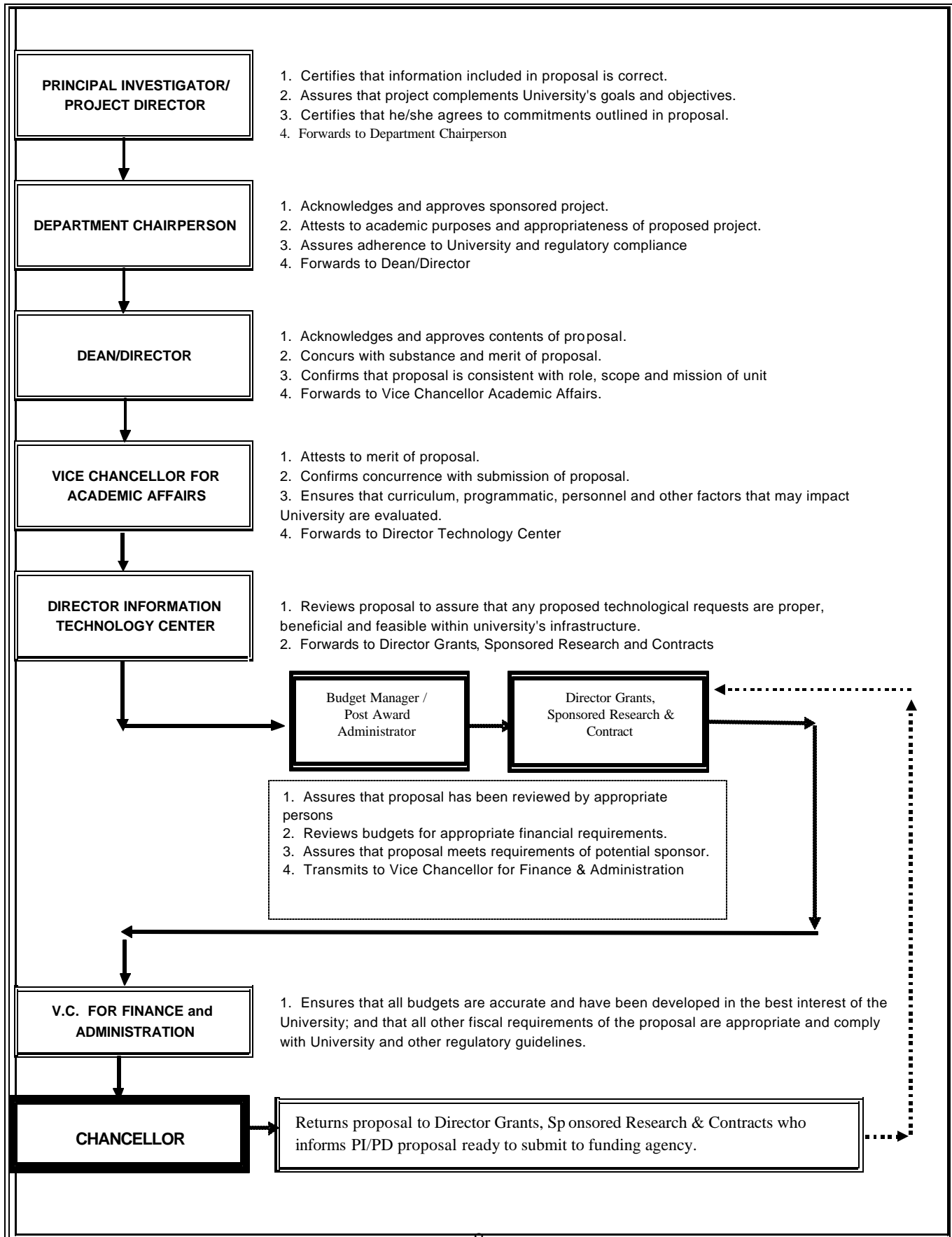
PROPOSAL REVIEW/ROUTING FORM FOR SPONSORED PROJECTS :

The Principle Investigator/Project Director (PI/PD) is responsible for processing the **PROPOSAL REVIEW/ROUTING FORM** through the proposal process. The **PROPOSAL REVIEW/ROUTING FORM** provides the necessary information to assist in the orderly internal routing of the proposal. It is an internal document and is not submitted to the prospective funding agency.

This form should be completed and routed for approvals according to the attached flow chart. It should be completed in accordance with the instructions and must contain the appropriate signatures and indicate any special requirements such as human and animal subjects, matching funds and space allocation. **To assure proper review, the Office of Grants, Sponsored Research and Contracts should receive the completed form along with the proposal at least seven (7) working days before the deadline date.**

The PI/PD is required to submit the full, final draft of the proposal and the required number of copies of the proposal and a transmittal letter summarizing our request to the prospective funding agency. There is no standard format for proposals. Once the proposal has been reviewed and approved by the appropriate SUNO officials, the Director of the Office of Grants, Sponsored Research and Contracts will notify the PI/PD that it is ready to be picked up. At that time, the PI/PD will be given one completed copy of the Proposal Routing Form.

FLOW CHART FOR OBTAINING APPROVAL FOR SUBMISSION OF EXTERNAL SPONSORS



THE PROPOSAL BUDGET

Your Budget is an Estimate!

The budget that you present with your proposal is an estimate of your proposed project's costs. You should carefully plan your budget and be as specific as possible. The degree to which you have adequately planned your budget reduces the number of changes that may be required, and establishes a degree of credibility should a modification be required.

Generally, costs charged to a sponsored agreement must be **allowable, allocable** and **reasonable**. You should carefully review the Agency's RFP guidelines to determine if there are specific instructions regarding budget preparations. (e.g., restrictions regarding indirect cost, etc.)

Factors that should be considered when preparing your budget are:

- ✍ If salaries are included in budget, we must also provide for fringe benefits at the applicable rate. **The current rate is 27.89%.**
- ✍ Unless specifically prohibited by the funding agency, the budget must include funds for indirect costs incurred by the University. Indirect costs may be defined as those costs that cannot be specifically identified to the project. (e.g., utilities, telephones, etc.) **The current rate is 35.5% and is based on salaries and wages.**
- ✍ If we include matching funds or cost sharing in the budget, we must be able to certify and document the cost.

The budget is one of the most important components in preparing your proposal. You may contact the Budget Manager / Post Award Administrator to receive additional assistance or visit the Grants web site to view an *interactive* budget format.

SOUTHERN UNIVERSITY AT NEW ORLEANS

BUDGET SUMMARY

PROJECT TITLE:

PI/PD:

PROJECT PERIOD:

BUDGET ITEM		AMOUNT	IN-KIND
SALARIES FRINGE BENEFITS <i>(based on salaries)</i> @ TRAVEL OPERATING SERVICES SUPPLIES PROFESSIONAL SERVICES OTHER CHARGES CAPITAL OUTLAYS (EQUIPMENT) STUDENT AID and SCHOLARSHIPS SUBAGREEMENT COST PARTICIPANT TRAINING TOTAL DIRECT COST INDIRECT COST <i>(based on direct cost)</i> @			
TOTAL BUDGET REQUEST			

BUDGET SUMMARY DETAIL

1. Personnel Services - Proposed salaries of personnel who will be employed through the University to complete project.

Title of Position	Name	Brief Description Duties and Responsibilities	% Time	Amount Requested	In-Kind
Total					

2. Travel - anticipated travel required to complete project:

Location	Purpose	# Persons	Food	Lodging	Trans.	Other	Total Requested	In-Kind
Total								

3. Operating Services - Anticipated expenses for services such as advertising, printing, repairs, dues and subscriptions, postage, long distance telephone calls and computer software, licensing and upgrades.

Description	Amount Requested	In-Kind
Printing/ Reproduction		
Repairs		
Dues and subscriptions		
Postage		
Computer software, licensing and upgrades		
Other (advertising, insurance, rentals, maintenance, long distance telephone calls, etc.)		
Total		

4. Supplies - Estimated costs of articles and commodities which are consumed or materially altered when used or nonconsumable supplies such as small items of equipment costing less than \$250 and having a life expectancy of less than one year.

Description	Amount	In-Kind
Office Supplies (diskettes, pens, copier paper, etc.)		
Operating Supplies (laboratory supplies, fuel, chemicals, etc.)		
Repair and Maintenance Supplies (electrical, plumbing, etc.)		
Meals for Meetings and Conferences (include rental of facilities)		
Other		
Total		

5. Professional, Personal Consulting and Social Services - anticipated expenditures required by project for acquiring services of external consultants (include consultant's travel expense):

Proposed Contractor	Description of Service	Amount	In-Kind
Total			

6. Other Charges

Category	Amount	In-Kind
Required Fees (licensing fees or special fees required by licensing authority)		
Registration Fees Local (fees for enrollment in local classes)		
Other (describe)		
Total		

7. Capital Outlays (Equipment) - items of equipment required by project having a life expectancy over one year and estimated to cost in excess of \$250:

Description	Make/Model	Unit Cost	Qty	Extended Cost	In-Kind
Total					??

8. Student Aid and Scholarships

Description	Amount Requested	In-Kind
Scholarships		
Stipends		
Books and Supplies		
Total		

9. Subagreement Costs

Description	Amount Requested	In-Kind

Description	Amount Requested	In-Kind
Total		

10. Participants Training

Description	Amount Requested	In-Kind
Participants - Scholarships/Stipends		
Participants - Training		
Participants - Training - Travel		
Total		

NARRATIVE

**AWARD NOTIFICATION
and ESTABLISHMENT OF
SUNO ACCOUNT**

AWARD NOTIFICATION

The awarding agency will furnish a written notification of award or acceptance of an offer to either the Chancellor or the Office of Institutional Advancement. The award notification will set forth all terms and conditions of the grant or contract, which should include the following:

Agency project identification number

Award period

Award amount

Principal Investigator(s)

Terms of acceptance

Other applicable information

Authorized signatures

ESTABLISHMENT OF SUNO ACCOUNT

To access the funds provided by the award/contract, we must establish an account within the SUNO Financial Records System (FRS). The Budget Manager / Post Award Administrator will request an account number from the Vice Chancellor for Finance and Administration. To facilitate the process, the following documents must be provided:

- ✍ A copy of the fully executed contract with applicable terms and conditions
- ✍ A copy of all reporting and billing forms
- ✍ A copy of the final negotiated and approved budget, summarized by FRS object code classification

Upon review and approval of the documents, the V.C. for Finance and Administration will obtain a FRS account number from the SUNO Comptroller. The Budget Manager / Post Award Administrator will notify the Project Director/Principal Investigator of the account number assigned and that they may commence expending the awarded funds.

GRANT, CONTRACT and BUDGET MODIFICATIONS

Programmatic Changes

Budget Revisions

PROGRAMMATIC CHANGES

Programmatic changes represent departures from approved project plans. The following programmatic changes require prior approval of the granting agency:

- ✍ Changes to project's scope or objectives;
- ✍ Changes in key personnel;
- ✍ Changes that transfer financial assistance or substantive programmatic work to a third party.

BUDGET CHANGES

The following budget changes require prior approval of the granting agency:

- ✍ Revisions requiring additional funding;
- ✍ Unless waived by the awarding agency, cumulative transfer among direct cost categories or among separately budgeted programs exceeding 10% of current total approved budget;
- ✍ Transfer of amounts previously budgeted for student support (e.g., tuition waivers, stipends, etc.)
- ✍ Unless waived by the awarding agency, transfer of amounts budgeted for indirect costs to absorb increases in direct costs;
- ✍ Unless waived by the awarding agency, creating new budget line items not approved in the grant agreement.

Transfer of funds from one object classification to another is allowable and permissible if required to accomplish overall program objectives and if we follow all restrictions and/or guidelines of funding agencies and appropriate approvals received. A Budget Modification and Revision Form must be executed to effect transfers. The form may be obtained from the Budget Manager / Post Award Administrator or at its web site. The Budget Manager / Post Award Administrator will also assist in its preparation. The Office of the Vice Chancellor for Finance and Administration is responsible for processing all requests for budget revisions.

EXPENDITURES and PROCUREMENT POLICIES

Personnel

Travel

Purchasing

*Professional, Personal,
Consulting and Social Services
Contracts*

*Extra Compensation Policy
(Reserved)*

PERSONNEL

Persons working on sponsored projects or programs are subject to the same personnel policies and procedures that are in effect for employees hired through state funding sources. It is the responsibility of the Principal Investigator (PI) or Project Director (PD) to monitor personnel expenditures within the limits of the budget for approved sponsored projects. To employ personnel pursuant to the approved award, the PI/PD must prepare the appropriate documents. **No one will be permitted to start work before final approval of the Personnel Action Forms by the System President**, unless the funding agency and the Chancellor have given written authorization. No one should be allowed to continue working beyond the termination date. Persons employed on or through grants or other sponsored programs, whether full-time or part-time, are temporary employees whose employment ends automatically once the grant expires.

Hiring of Personnel

I Before any announcements, interviews, etc., the department requesting that a vacancy be filled must complete a “Position Vacancy Authorization” form. This form identifies the department requesting the position, the position’s title, a brief description of the position, the proposed salary and the budgetary account number assigned to the project.

The “Position Vacancy Authorization” form must be completed for all positions except students and graduate assistants. Requests to fill existing positions must only be processed through the Chancellor’s level. Requests for new positions require the approval of the System President.

II After appropriate approval of the “Position Vacancy Authorization” form, the requestor must prepare and submit to the Human Resources Department a “Position Vacancy Announcement” form (not required for interim or part time employees). This announcement

must be done at least sixty (60) days before the vacancy is to be filled. Announcements are sent to state universities and employment agencies, posted to SUNO's web site and listed on **HigherEdjobs.com**.

- III Interviewing and selection will be done according to Civil Service requirements and/or SUNO guidelines. Direction and assistance regarding the employment process may be received from the Human Resources Department.

The applicant should sign an "Authorization to Release" form and the department must complete the "Supervisor Criminal Background Check" form. After Human Resources Services has verified previous employment, the "Authorization to Release" and "Supervisor Criminal Background Check" they send these forms to campus security for further processing.

Once a candidate has been selected, the requestor must prepare a "Proposed Employment Clearance" form. The purpose of this form is to "clear" the individual for employment at SUNO. (Clearance includes verification by financial aid that the individual is not receiving work study payments.)

Human Resources may ask the prospective employee to provide the following documents:

Picture ID

Social Security Card

Birth Certificate

Resident Alien Card

Visa

Passport

U.S. Department of Justice Form I-9
(Employment Eligibility Verification)

CHECKLIST FOR HIRING PERSONNEL

Use these checklists to insure all necessary steps have been taken to fill positions.

NEW HIRE CHECKLIST

The following items must be completed when hiring a new employee

- Position Vacancy Authorization
(Must have President's signature if it is a new position)
- Position Vacancy Announcement
(Completed by Human Resources for Civil Service Positions)
- Authorization to Release
- Supervisory Criminal/Background Check Form
- Proposed Clearance Form
- Proposed Employee Appointment (2 pages)
- Personnel Action Form

CONTINUATION/TEMPORARY/ACTING/PART-TIME CHECKLIST

- Position Vacancy Authorization
- Personnel Action Form

TRANSFERRING/PROMOTING A CURRENT EMPLOYEE (In a competitive position)

- Position Vacancy Authorization
- Position Vacancy Announcement
- Proposed Employee Appointment
- Check Out Form
- Personnel Action Form

TRAVEL

SUNO employees must arrange travel through the designated travel agents for the State of Louisiana. This includes air travel, airfare information, and automobile rental information, if applicable. Employees are permitted to make their own arrangements for in state lodging.

The Travel Request Form should be completed and submitted to the appropriate unit head for approval who should assure that the correct Financial Records System (FRS) account number has been indicated. Detailed processing procedures for Travel Request are attached.

Travel Advances

Conditions under which travel advances may be obtained are as follows:

- ✍ Athletic personnel
- ✍ Student organization personnel (must be an employee)
- ✍ Employees traveling with students
- ✍ Admissions personnel
- ✍ International travel
- ✍ Persons with incomes of \$15,000 or less

Reimbursements

- ✍ Complete Travel Expense Account Form; attach supporting receipts and/or other documentation.
- ✍ Prepare Departmental Invoice for travel.
- ✍ Obtain approval of Department Head and forward to Office of Institutional Advancement for further processing.

Procedures for the Processing of Travel Request and Expense Reports

Prepared: Office of the Vice Chancellor for Administration and Finance
 Effective: Immediately
 Objective: To ensure the efficient processing of Travel Documents

TRAVEL REQUEST

Traveler	<i>At least two weeks prior to start date of travel</i> , prepares travel request form and submits to immediate supervisor for approval.
Immediate Supervisor	Approves travel and submits documents to Department Head for approval.
Department Head	Approves travel and submits documents to Vice Chancellor (Area) for approval.
Vice Chancellor (Area)	Approves documents and submits to Budgetary Control: State Funds - Office of the Vice Chancellor for Administration and Finance (Gloria Thompson/Ben Robinson) Federal Funds - Office of Grant/Title III (Whitney Barconey/Brenda Jackson)
Budget Officer	<i>If funds are available</i> , stamps funds available on Travel Request form and submits documents to the Accounts Payable Section of the Comptroller's Office. <i>If funds are not available</i> , document is returned to Office of the Vice Chancellor (Area).
Accounts Payable	Encumbers the travel amount and maintains the Travel Request form until the travel expense report is received. Attaches the Travel Request form to the travel expense report when received.

DEPARTMENTAL INVOICE/TRAVEL EXPENSE REPORT

Traveler	Prepares Departmental Invoice/Travel Expense Report, attaches all support documents and submits to Immediate Supervisor for approval.
Immediate Supervisor	Reviews and approves Travel Expense Report and submits to Accounts Payable Section of the Comptroller's Office for processing.
Accounts Payable Section	Attaches Travel Expense Report to the Travel Request Form, audits Travel Expense Report and if correct, approves document for payment. <i>If there is not Travel Request form or if the support documents are not sufficient or missing</i> , the Travel Expense Report is returned to the Immediate Supervisor with a written explanation of why the document is being returned.

August 19, 2003

PURCHASING PROCEDURES

An approved purchase requisition and purchase order must support all good and services purchased for Southern University at New Orleans. No goods or services will be received or ordered without these documents. Southern University Board of Supervisor's policy states:

“Any employee or group of employees of the Southern University System who incur obligations in the name of Southern University or any agency thereof without following the proper and established University procedures and policies shall be personally responsible for the obligations incurred . . .”

All goods coming to SUNO must be received and checked by the Stores/Property office.

It is the grant recipient's responsibility to comply with all provisions of applicable State, Federal, and Local laws and executive orders in the procurement of supplies, services and other charges as allowed under each individual agreement. The following procedures and regulations apply:

- ✍ Purchases up to \$500 required no competitive bidding. The requestor should obtain one (1) written quotation from the vendor and attach it to the Purchase Requisition form.
- ✍ Purchases more than \$500, but less than \$2,000 will be made by receiving written quotations from at least three (3) vendors.
- ✍ Purchases more than \$2000, but less than \$10,000 will be made by soliciting written quotations from at least five (5) prospective bidders.
- ✍ Purchases more than \$10,000, but less than \$25,000 will be made by sending out written invitations for bid to at least eight (8) bonafide, qualified bidders.
- ✍ Purchases more than \$25,000 must be made according to the State's competitive open bid process.

Requestor's Responsibility

1. Identify need. Requestor should identify their needs and determine which goods or services will satisfy that need. Gather all appropriate information, including general

specifications, proper commodity class and estimated cost that will help simplify the procurement process. Determine if the goods/services are available on a competitively bid state contract. We are required to utilize these contracts unless we determine that they do not meet the minimum contract requirements or the items do not satisfactorily meet your needs. In such cases, a request to bypass the use must be submitted to the Director of Purchasing for a written exemption.

2. Prepare a purchase requisition completing organization, date, complete description, suggested vendors (include name, address, phone, fax, contact person) and price estimates.

Additional information:

Requisition for printed materials should include an example of the item.

If applicable, provide the State Contract number for the item

For requests that exceed one page, a continuation sheet should be used with the required information.

After signing and obtaining the approval of the department head, requisitions should be forwarded to the Budget Manager/Post Award Administrator for approval and further processing.

PROFESSIONAL, PERSONAL, CONSULTING and SOCIAL SERVICES CONTRACTS

Often, projects require the services of external consultants. When engaging the services of an external contractor or independent consultant, the Principle Investigator/Project Director should adhere to the following:

- ✍ PERSONAL SERVICES - work rendered by individuals that requires the use of creative or artistic skills.
- ✍ PROFESSIONAL SERVICES - work rendered by an independent contractor who has a professed knowledge of some department of learning or science used by its practical application to the affairs of others or in the practice of an art founded on it including, but not limited to lawyers, doctors, dentists, engineers, etc.
- ✍ CONSULTING SERVICES - work, other than professional, personal or social service, rendered by either individuals, or firms who possess specialized knowledge, experience, and expertise to investigate assigned problems or projects and provide counsel, review, design, development, analysis, or advice.
- ✍ SOCIAL SERVICE - work rendered by any person, firm corporation, organization, governmental body, or governmental entity in furtherance of the general welfare of the citizens of Louisiana.

PROCEDURE

THE PROFESSIONAL SERVICES CONTRACT MUST BE COMPLETED AND APPROVED BEFORE THE CONTRACTOR MAY PERFORM THE REQUESTED SERVICES.

1. Professional Services contract forms and supporting documents may be obtained from the Comptroller's Office.
2. A Certification Letter is prepared for the President's signature for contracts less than \$20,000. Contracts more than \$20,000 must be sent to the State of Louisiana, Office of Contractual Review.
3. A Purchase Requisition must be prepared and submitted with the Professional Services

contract.

4. Professional Services contracts are to be issued to individuals only if they are an established business to provide the services required. “Persons listed as artisans, specialists and consultants, who are not licensed to practice or perform, and are not recognized in the respective profession, must be hired by way of a Personnel Action Form (PAF).”

COST SHARING and MATCHING

COST SHARING and MATCHING

Often, a criterion for the awarding of funds from the various sources may include matching funds or cost sharing requirements. We may define cost sharing or matching as the portion of the total project budget not borne by the funding agency. There are generally two types of cost sharing:

- ✍ CASH CONTRIBUTIONS - cash contributions represent the recipient's cash outlay, including the outlay of money contributed to the recipient by non-federal third parties.
- ✍ IN-KIND CONTRIBUTIONS - in-kind contributions represent the value of non-cash contributions provided by the recipient and non-federal third parties. Only when authorized by Federal Legislation may property purchased with Federal funds be considered as the recipient's in-kind contribution. In-kind contributions may be in the form of charges for real property, and the value of goods and services directly benefiting and specifically identifiable to the project.

The PI/PD must document specific information relative to the source of funding and amounts for matching contributions. This information must be submitted to the Comptroller's Office on the **REPORT OF CERTIFICATION OF IN-KIND CONTRIBUTIONS/COST SHARING** form.

**SOUTHERN UNIVERSITY AT NEW ORLEANS
REPORT OF CERTIFICATION OF IN-KIND CONTRIBUTIONS/COST SHARING**

DIRECT LABOR and RELATED BENEFITS

Name of Contributor _____

Position / Job Title _____ SSN _____

Dates / Period Services Provided *From* _____ *To* _____

Total Hours _____ Rate \$ _____ (Rate must be consistent with those paid for similar work.)

Value of Services Performed
(hours X rate) \$ _____

Related Benefits \$ _____ (Rate = _____%)

TOTAL CONTRIBUTION \$ _____

Description of Services Performed: _____

CERTIFICATION

I hereby certify that on the date and times shown, I performed the described services, which are verifiable and documented. I further certify that the value of said services is based on the fair market value of comparable services in the current market.

In-Kind Contributor: _____ Date: _____

Project Director: _____ Date: _____

CLOSEOUT PROCEDURES

CLOSEOUT

Closeout of a sponsored agreement is the process by which the sponsoring agency determines that the University has completed all applicable administrative actions and required work of the agreement. The date of completion is the date on which all work under grants and other agreements is completed or the date on the award document, or any supplement or amendment thereto, on which sponsorship ends. Each grant will be closed out as promptly as is feasible after expiration.

The university is obligated to satisfy the established closeout procedures required by the sponsoring agency. To meet this requirement, the PI/PD must submit to the Office of Institutional Advancement the following items by the date of completion:

- ✍ A final narrative, technical (performance) report on the project;
- ✍ Reprints of all technical publications;
- ✍ Applications of all inventions and copyrights; and
- ✍ Official copies of an inventory report, request for transfer, and final disposition of property from sponsoring agency.

To facilitate FISCAL CLOSEOUT, at least sixty (60) days before the end of the project, the Budget Manager / Post Award Administrator will send a memorandum to the PI/PD reminding them that the project is about to end and that they should make all requests for expenditures immediately. It is the responsibility of the Comptroller's Office to prepare and submit final financial reports.

FORMS

Proposal Routing Form

Personnel Forms

Position Vacancy Authorization

Position Vacancy Announcement

Authority to Release Information Form

Supervisory Criminal Background Check

Proposed Employment Clearance

Proposed Employment Appointment

Personnel Action Form

Travel Request Form

Departmental Invoice

Purchase Requisition

**SOUTHERN UNIVERSITY AT NEW ORLEANS
ROUTING FORM FOR PROPOSAL APPROVAL**

Investigator Information:

P.I. Name _____	Co-PI Name _____
SSN _____	SSN _____
Campus Address _____	Campus Address _____
Campus Phone _____	Campus Phone _____

Grant Type:

New Re-funding/Continuation Extension

Equipment Training Research Other

Indirect Cost Amount: _____ Indirect Cost Rate: _____

Dollar Commitment for University: _____ Cash _____ Match _____

Project Summary:

Signatures:

Date

P.I.	_____	_____
Chairperson	_____	_____
Dean	_____	_____
Vice Chancellor – Academic Affairs	_____	_____
Information Technology Director	_____	_____
Grants, Sponsored Research and Contracts	_____	_____
Budget Administrator	_____	_____
Institutional Advancement	_____	_____
Vice Chancellor – Finance and Administration	_____	_____

SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS SUBR SULAC SUAREC SUNO SUSLA

POSITION VACANCY AUTHORIZATION

REQUEST THAT THE POSITION _____ AS DESCRIBED BELOW
 BE AUTHORIZED AS A VACANCY FOR _____
 (Department or Other Unit)

- | | | | |
|--|--|---------------------------------------|--|
| <input type="checkbox"/> Replacement | <input type="checkbox"/> New Position* | <input type="checkbox"/> Unclassified | Source of Funds |
| <input type="checkbox"/> Civil Service | <input type="checkbox"/> Temporary | <input type="checkbox"/> Faculty | <input type="checkbox"/> State |
| <input type="checkbox"/> Tenured | <input type="checkbox"/> Probationary (For Faculty this is same as tenure track) | | <input type="checkbox"/> Grant -in-Aid |
| | | | <input type="checkbox"/> System Revenue |
| | | | <input type="checkbox"/> Agency Fund State |

*requires the approval of System President

VACANCY DESCRIPTION AND JUSTIFICATION

(Include rank (for faculty) and approximate salary; initiator of form must have prior approval of salary/salary range with the appropriate Vice-Chancellor, Chancellor and/or President. Salaries for classified positions must be approved thru Human Resources).

Salary/Range: _____

____ Approved ____ Disapproved _____
Department Head **Date**

____ Approved ____ Disapproved _____
Dean/Director/Supervisor of Budget Unit **Date**

COMPTROLLER'S OFFICE ONLY	
Funds Available	
____ Yes	____ No
Signature	Date
Budget Number	

HUMAN RESOURCES OFFICE ONLY			
Existing/Approved Position			
____ Yes	____ No		
Job Code:	Cal Id:	Job Class:	
Verified By:		Date:	

____ Approved ____ Disapproved _____
Vice Chancellor **Date**

____ Approved ____ Disapproved _____
Chancellor/Vice President **Date**

____ Approved ____ Disapproved _____
President **Date**

An Equal Opportunity Employer

Vacancy Announcement System (VAS)

Position Vacancy Announcement Request

Date: _____ Department: _____

SUS
SUBR
SULC
SUAREC
SUNO
SUSLA

Application Deadline: _____ Date position to be filled: _____

Position Title: _____

Salary (annual): _____ or Salary Range: _____ to _____

Please check all categories that apply to this position:

Status	Faculty Position	Unclassified Position	Classified Position
Part-time	Temporary	Administrative	Probationary
% of time	Tenure	Temporary	Job Appointment
Full-Time	Tenure Track (Probationary)	Permanent	Provisional Appointment
	Grant	Grant	
	Contract	Contract	

Contact Person: _____ Telephone No: _____

Contact Email Address: _____

Contact e-mail address is for: Human Resources utilization only Posting to VAS website

Brief job description [Maximum 5 lines @ 500 characters (including spaces) per line]:

Minimal qualifications [Maximum 4 lines @ 450 characters (including spaces) per line]:

Remarks [Maximum 3 lines @ 300 characters (including spaces) per line]:

Apply To:

Note: Approved Position Vacancy Authorization form(s) must be received in the Office of Human Resources before vacant positions will be announced.

AN EQUAL OPPORTUNITY EMPLOYER

Please Post!

Please Post!

Please Post!



Southern University at New Orleans

HUMAN RESOURCES DEPARTMENT
6400 PRESS DRIVE
NEW ORLEANS, LOUISIANA

(504) 286-5271
(504) 284-5482
www.suno.edu

AUTHORITY TO RELEASE INFORMATION

PLEASE READ THE FOLLOWING STATEMENT CAREFULLY

I consent to the release of information concerning my capacity and/or all aspects of prior job performance by employers, educational institutions, law enforcement agencies, and other individuals and agencies to duly accredited investigators, personnel technicians, and other authorized employees of the state government for the purpose of determining my eligibility and suitability for employment with the Southern University System.

Signature

Date

Print Name

Department

SUPERVISORY CRIMINAL/BACKGROUND CHECK FORM

NAME: _____ DEPARTMENT _____

SSN: _____ POSITION TITLE: _____

DATE OF BIRTH: _____ RACE: _____ SEX: _____

CURRENT HOME ADDRESS _____
(physical address, no post office box #): _____

LAST ADDRESS (if less than 2 years at current address): _____

FORMER EMPLOYER (Supervisor must verify references):

Company Name: _____ Contact Name/No: _____

Dates Employed: _____ Job Title: _____

Rate of Pay: _____ Would You Rehire? _____ Yes _____ No

Describe Job Performance: _____

No Information Provided: _____

FORMER EMPLOYER:

Company Name: _____ Contact Name/No: _____

Dates Employed: _____ Job Title: _____

Rate of Pay: _____ Would You Rehire? _____ Yes _____ No

Describe Job Performance: _____

No Information Provided: _____

COMMENTS:

SUPERVISOR'S SIGNATURE (Type/sign)

DATE

PROPOSED EMPLOYMENT CLEARANCE

SUS____ SUBR____ SULAC____ SUNO____ SUSBO____

Name: _____ SS# _____

Dept. _____ Budget Code: _____

Location of Position In Budget: _____

Page # _____ Item _____

Effective Date: _____ Position Title: _____

Salary: _____ Position Advertised: _____ Yes _____ No

If No, Why: _____

Signed Department Head

Date

If student (Undergraduate, Graduate). Eligibility cleared by Financial Aid Office.

Financial Aid Representative

Date

If Graduate Student, cleared by Graduate School.

Graduate School Dean

Date

Personnel Services:

Visa/Citizenship Status: _____ Verified By: _____

Clearance Granted: _____, If No, State Why: _____

Personnel Director

Date

AN EQUAL OPPORTUNITY EMPLOYER

JOB CLASS				
JOB CODE				
CAL ID				

SOUTHERN UNIVERSITY SYSTEM

Personnel Action Form

POSITION NUMBER						
-----------------	--	--	--	--	--	--

CAMPUS: SUS _____ SUBR _____ SULAC _____ SUAREC _____ SUNO _____ SUSLA _____

EMPLOYMENT CATEGORY: 9-MONTH _____ 12-MONTH _____ OTHER _____ (Specify) _____

- | | | |
|-----------------------|---|------------------------|
| _____ Academic | _____ Non-Academic | _____ Civil Service |
| _____ Temporary | _____ Part-time (_____ % of Full Time) | _____ Restricted |
| _____ Tenured | _____ Undergraduate Student | _____ Job Appointment |
| _____ Tenured Track | _____ Graduate Assistant | _____ Probationary |
| _____ Other (Specify) | _____ Retiree Return To Work | _____ Permanent Status |

Previous Employee _____ Reason Left _____
 Date Left _____ Salary Paid _____

Profile of Person Recommended

Length of Employment _____ To _____
 Effective Date _____

Name _____ SS# xxx-xx- _____ Sex _____ Race* _____
 (Last 4 digits only)

Position Title: _____ Department: _____

Check One _____ Existing Position *Visa Type (See Reverse Side):

--	--	--

 _____ New Position Expiration Date: _____

(Position vacancy authorization form must be processed and approved to fill existing and new positions. Position must be advertised before processing PAF, if applicable.)

Years Experience _____ Southern University Experience _____
 Degree(s): Type/Discipline (BA-Education): _____ Institution/Location (SU-Baton Rouge): _____ Year: _____

Current Employer _____

Personnel Action

Check One _____ New Appointment _____ Continuation _____ Sabbatical _____ Leave of Absence
 _____ Transfer _____ Replacement _____ Other (Specify) _____

Recommended Salary _____ Salary Budgeted _____

Source of Funds _____

Identify Budget: _____ Location _____
 Form Code: _____ Page _____ Item # _____

Change of: _____
 _____ From _____ To _____
 Position _____
 Status _____
 Salary Adjustment _____

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:

*See Reverse Side

Comments: (Use back of form)

Source of Funds	Amount

*See Reverse Side

Graduate School signature (if, applicable):

_____ Supervisor	_____ Date	_____ Dean/Unit Head	_____ Date
_____ Vice Chancellor	_____ Date	_____ Chancellor	_____ Date
_____ Director/Personnel	_____ Date	_____ Vice President/Finance Business Affairs/Comptroller	_____ Date
_____ President	_____ Date	_____ Chairman/S.U. Board of Supervisors	_____ Date

This information is requested solely for the purpose of determining compliance with Federal Civil Rights Laws and does not affect employment consideration.

ETHNIC ORIGIN (Please check one):

_____ Hispanic or Latino _____ Non-Hispanic or Non-Latino

RACE (Please check all that apply):

_____ White, not of Hispanic origin. A person having origins in any of the original people of Europe, North Africa, or the Middle East.

_____ Black, not of Hispanic Origin. A person having origins in any of the Black racial groups of Africa.

_____ Hispanic. A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origins, regardless of race.

_____ Asian or Pacific Islander. A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

_____ American Indian or Alaskan Native. A person having origins in any of the original peoples of North American, and who maintains cultural identification through tribal affiliation or community recognition.

COMMENTS:

EMPLOYEE REGULAR WORK SCHEDULE:

EMPLOYEE DIRECT SUPERVISOR:

NUMBER OF EMPLOYEES SUPERVISED, (if any)

HR USE ONLY: STATUS (circle one): EXEMPT NON-EXEMPT

GUIDELINES: All employees, students, graduate assistants being employed through the use of this form are to report to and be cleared by the Human Resources before any employment is offered and before starting to work. All students are to bring with them clearance from the Financial Aid office, Statement of Account (fee receipt), and a class schedule. All prospective employees/students must bring a pictured ID, social security card, birth certificate, certificate of naturalization, resident alien card, H1-B and J-1 visas, passport, and F-1/I-94. The latter six (6) documents do not apply to U.S. Citizens.

Documentation must be provided for review and approval by Human Resources before employment is offered.

CLASS OF EMPLOYMENT (VISA STATUS):

<u>TYPE</u>	<u>CODE</u>	<u>EXPIRES</u>
United States Citizen/Certificate of Naturalization	US	
Resident Alien	RA	
H-1 Visa (Distinguished Merit & Ability)	H1	
J-1 Visa (Exchange Visitor Program)	J1	
F-1 Visa (Student Emp. FT Student at S.U.)	F1	
OPT (F-1 Visa-INS Prior Approval-“Practical Work Experience”)	F0	

Do Not Write Below This Area
For Human Resource and Budgetary Control Use Only!

PAF APPROVAL PROCESS CHECKLIST (Must have the information outlined below):

- _____ Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- _____ Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- _____ Pre-Employment Application Form (Civil Service Application for classified employees)
- _____ Supervisory Criminal/Background Check Forms and Authority to Release (signed by employee)
- _____ Exemptions Survey Form
- _____ Proposed Employee Appointment
- _____ Proposed Employee Clearance
- _____ Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

CAMPUS POLICE USE ONLY

CRIMINAL BACKGROUND CHECK

COMMENTS:

SIGNATURE

DATE

HUMAN RESOURCES / PERSONNEL USE ONLY

OPEN SYSTEM CHECKED

BARRED: Yes No

SF10 ITEMS 11 AND 12 CHECKED: Yes No

SIGNATURE

DATE