Claflin University

Sponsored Programs Office

Faculty Guidebook

Table of Contents

Sponsored Programs Office

The Sponsored Programs Office (SPO) serves in a partnership role both internally and externally towards the common goal of furthering Claflin University's overall mission of teaching, research and service. SPO provides oversight and management of pre- and post-award funding with the mission of supporting the growth of sponsored research activities. SPO performs the following functions:

- Provides assistance in the review and interpretation of sponsor guidance, proposal and budget development, and proposal submission.
- Reviews, negotiates, and executes all contracts at Claflin University involving sponsored projects.
- Collaborates with researchers, deans, departmental chairs and other administrators to resolve issues such as institutional cost-sharing, contractual terms, and budget matters.
- Coordinates the creation of new sponsored project accounts, budget revisions, administrative actions, and close-outs.
- Communicates with sponsors on behalf of the institution.
- Reviews and advises the research community on matters of new or revised federal and state laws, rules, and regulations that affect research administration.
- Provides training opportunities/professional development relative to research administration for empowering faculty and staff to function creatively and independently.
- Creates and consistently implements procedures that facilitate the conduct of sponsored program activities, while ensuring compliance with sponsor and University requirements.

Website: http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test

Institutional Business Information

Address for Official Correspondence:	Claflin University Sponsored Programs Office 400 Magnolia Street Orangeburg, SC 29115-6815
Type of Organization:	Private Institution of Higher Education Historically Black College or University
Congressional District:	SC-006
Senate District:	District 39
Representative District:	District 95
Authorized University Official **For all Proposals and Certifications:**	Sponsored Programs Administrator assigned to your department
Officials Authorized to Sign **Listed Agreements:**	President Claflin University 400 Magnolia Street Orangeburg, SC 29115 Phone: 803-535-5412 Fax: 803-535-5402 Email: president@claflin.edu
Financial Contact:	Vice President for Fiscal Affairs Claflin University 400 Magnolia Street Orangeburg, SC 29115 Phone: 803-535-5413 Fax: 803-535-2860 Email: thudson@claflin.edu
Proposal Contact:	Name of your assigned Sponsored Programs Administrator Sponsored Programs Office 400 Magnolia Street Orangeburg, SC 29115 Phone: 803-535-5544 Fax: 803-535-5545 Email: spo@claflin.edu
Principal Investigator/Project Director:	Faculty and/or Staff Name (or investigator to serve as project correspondent if there are co-investigators)
Campus Address:	400 Magnolia Street Orangeburg, SC 29115
Employer ID Number (EIN):	57-0314374

DUNS Number:	014778158
CAGE Code:	1UDE5
Federalwide Assurance (FWA):	FWA00011759
IORG Number:	IORG0005080
Cognizant Agency/Contract Administration Office (for IDC rate approval):	Lucy Siow 301-492-4855 Department of Health and Human Services
Date of last Negotiation of Facilities and Administration Rate (for rate approvals):	02/10/2017
On-Campus Negotiated Rate:	65% of Salaries and Wages
Off-Campus Negotiated Rate:	20% of Salaries and Wages (For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project (s) the off campus rate will apply. Grants and contracts will not be subject to more than one Facilities and Administration rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.)

Funding Mechanisms

Grant

The term "grant" is commonly used to describe nearly all awards of extramural support from various projects initiated by faculty and staff members. It is a transaction with a sponsor in which the sponsor provides funds, property, service or anything of value in order to accomplish a specific goal.

The requirements for submitting proposals vary from sponsor to sponsor. Generally, grants have the following characteristics:

- They are made for a particular purpose and are primarily competitive.
- The purposes are specified in writing.
- They have a definite program start and end date.
- They typically include restrictions on the use of grant funds and on a reallocation of funds from one budget category to another.
- Most agencies require progress reports, program reports, financial reports and, in most instances, technical reports.

Contract

Contracts are agreements signed by both parties which bind the sponsor to provide funding to a recipient in support of a specific set of activities which include one or more deliverables. In addition to the above-referenced grant characteristics, contracts typically include the following:

- The terms of the contract are often spelled out in great detail and generally defined by the funding source.
- The recipient is obligated to perform the work set forth in the contract and to deliver any and all products for which the contract has been awarded.
- The contract must be fulfilled regardless of the cost to the University.
- The applicant is generally given less latitude to modify the scope of the agreed upon activities and/or the expenditures of funds provided by the contractor.
- The terms for invoicing and release or restriction of payments are included

Memorandum of Agreements (MOA)/Memorandum of Understanding (MOU)

A MOA or MOU is an agreement between the University and the sponsor in which the University enters into a binding agreement where the roles and contributions of both parties are clearly defined. The MOA or MOU consist of the following:

- The date agreement is made
- The identification of the agreeing parties
- The expectations of all parties
- The terms of the agreement
- Payment method

Subcontracts or Sub-agreements/sub-award

Subcontracts or sub-agreement/sub-awards are transactions entered into by a supplier, distributor, vendor, university, or a firm that will furnish supplies or services for performance for a prime contractor, another subcontractor or partner. Subcontract agreements and sub-agreement/sub-awards consist of the following:

- Identification of the parties involved
- The name of the awarding sponsor
- The period of performance

- The statement of work
- The budget
- The personnel
- The terms of the agreement
- The reporting requirements
- Invoicing procedure

Funding Agencies

Federal Government
The federal government is the largest of all grantmakers. Federal government agencies provide funds in virtually every discipline. They include such agencies as the National Science Foundation (NSF), National Institutes of Health (NIH), Department of Justice, the Department of Education and scores of others.

State and Local Government
In some instances, federal funding for services is passed on to states for their use or for redistribution. Much of the federal grant budget moves to the state through formula and block grant money.

Quasi-Government
Quasi-government agencies are not officially executed agencies but are required by statute to publish certain information on their programs and activities in the Federal Register. For example, the United States Institute of Peace is an independent Federal institution created and funded by Congress to develop and disseminate knowledge about international peace and conflict resolution. Other examples include local and regional housing authorities that also serve as conduits for grants and contracts.

Public and Private Foundations
Foundations are 501 (c) (3) groups that have a designation as a non/not for profit organization. Private foundations receive support from relatively few sources and are more closely regulated than other 501 (c) (3) groups that are not private foundations. Generally, these latter groups, which we call public charities, are 501 (c) (3) groups that receive broad public support. Most private foundations award grants to permit others to carry out charitable activities.

A public foundation has even greater flexibility to support and engage in advocacy as they are not subject to all of the restrictions imposed on private foundations. Public foundations including community foundations are considered public charities rather than private foundations because they have more funding sources.

Corporations
Many companies today are focusing their corporate philanthropy efforts on education. They are very aware of the fact that they need educated and motivated workers in the future. Corporate webpages provide excellent vehicles for soliciting sponsorship.

Funding Opportunities
Funding agencies or sponsors announce funding opportunities through various mechanisms. The most common types of sponsor funding announcements are:
- PA – Program Announcement (grants, cooperative agreements)
- FOA – Funding Opportunity Announcement
- RFA – Request for Applications (grants, cooperative agreements)
- RFP – Request for proposals (contracts)
- RFQ – Request for Quotations (contracts)
- RFB – Request for Bids (contracts)
- BAA – Broad Agency Announcement (grant, cooperative agreement, contract)

SPO has put together a funding opportunities section on its webpage to assist faculty with locating funding opportunities.
http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test/funding-opportunities/

Letter of Intent (LOI)

The LOI is normally requested by the sponsor to help determine which organizations and projects are the most appropriate for the grant opportunity. A LOI contains vital material for both the applying organization and the funding source. The LOI is the opportunity for the Principal Investigator/Project Director (PI/PD) to make a positive, lasting impression on the grantor. A strong LOI will better position the PI/PD to be invited to complete a full grant application.

In contrast, there are LOIs that are only requested for administrative purposes, such to provide the sponsor with the scope of how many organizations are interested in the grant and assist with planning for the staff time required to review the upcoming submissions.

Types of Proposals

Solicited proposals are submitted in response to a specific solicitation issued by a sponsor. Such solicitations (RFP, BAA, RFB, etc.) are usually specific in their requirements regarding format and technical content, and may stipulate certain award terms and conditions.

Unsolicited proposals are submitted to a sponsor that has not issued a specific solicitation but is believed by the PI/PD to have interest in the subject.

Pre-proposals are requested when a sponsor wishes to minimize an applicant's effort in preparing a full proposal. Pre-proposals are usually in the form of a LOI; a brief abstract; or white paper. After the pre-proposal is reviewed, the sponsor notifies the PI/PD if a full proposal is warranted.

Continuation or Non-Competing proposals are submitted to confirm the original proposal and funding requirements of a multi-year project for which the sponsor has already provided funding for an initial period (normally one-year). Continued support is usually contingent on satisfactory work progress and the availability of funds.

Renewal or Non-competing proposals are submitted as requests for continued support for an existing project that is about to terminate, and, from the sponsor's viewpoint, generally have the same status as an unsolicited proposal.

Proposal Preparation

Depending on the funding opportunity announcement/solicitation, an application to request funding can take the form of a grant proposal, a quotation, or a bid for service. The solicitation in addition to any standard proposal preparation guidelines specific to the agency will provide a full overview of all the documents needed to prepare a complete application. Some basic criteria are a project summary, research plan, references cited, facilities and other resources and biosketch. Information to assist faculty with proposal preparation can also be found on the SPO website at http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test/proposal-development/

Project Summary

A project summary is the part of the application that describes the goals, significance and outcomes of the proposed project. It is usually no more than a one-page document. The project summary also known as the "abstract" is used by sponsors to assist in determining relevance of the proposal to the funding opportunity goals and objectives. The specific requirements of the project summary vary by sponsor so it is important not to assume that there is a standard format and review the sponsor guidelines.

Research Plan

The research plan is the main and oftentimes the most crucial part of the grant application. It gives the PD/PI an opportunity to present the scope of work and project plan to the sponsor. The research plan usually has subsections which are dependent upon sponsor requirements. It is best to prepare the application using the required subsection headings and including the requested information within each section.

Bibliography/References Cited

The bibliography or references cited is the list of scholarly sources of information that are used when doing research to write the research plan. The bibliography or references cited should always contain the full names of each author ("et al" is generally not acceptable), title of publication, date of publication, page number(s) of source and the names of the publishing company. The bibliography or references cited are normally compiled at the completion of the research plan and numbered in order of appearance.

Facilities & Other Resources

The facilities & other resources identify the specific space, laboratory, office, and other sources of support that are relevant to the completion of the project. Other resources could include institutional financial support, institutional offices that help to manage the project (e.g. machine shop, fabrication center) time and effort of personnel not named in the budget request, and/or in-kind contributions/cost share.

This section should contain a detailed description of the specific resources that are available to help meet the stated objectives of the project and **should not** be a generic listing of the facilities and resources available at the institution.

Biosketch

Most grant applications will require some version of a biosketch to illustrate personnel's expertise and/or experience. By definition, a biographical Sketch (Biosketch) is a brief summary of someone's **professional /educational accomplishments, publications, and affiliations**--an abbreviated curriculum vitae--meant to highlight important aspects of training, experience, and areas of interest. The solicitation dictates the format and information that should be included in the biosketch.

National Science Foundation (NSF)

NSF guidelines are specific on how biosketches are prepared. Unless the solicitation states otherwise, applicants are to use the most current Proposal & Award Policies & Procedures Guide (PAPPG). NSF updates the PAPPG on a yearly basis, so it is essential to review the most current guide to determine how to prepare the biosketch as well as other application documents.

National Institutes of Health (NIH)

The National Institutes of Health (NIH) has developed its own format for preparing the biosketch. The format, instructions and samples can be found at the following link https://grants.nih.gov/grants/forms/biosketch.htm

Budget

A budget is requested by the sponsor to verify that the total project cost is reasonable and necessary to carry out the proposed project. Carefully review the grant guidelines to determine the costs that can be charged to the budget. All costs included in the budget must be allowable (conform to the limitations and/or exclusions set by the sponsor), reasonable (costs to a particular project must be conservative and reflect the actions of a "prudent person") and allocable (must be charged in proportion to the benefit of the project) for the proposed activities. All budgets should include the appropriate institutional rates.

Budgets generally contain direct and indirect costs. Direct costs are the line items needed to carry out the project. Direct costs must be allocable, reasonable and allowable. The following are generally considered direct costs:

Salaries and Wages

The personnel that will work on the project:

- **Senior/Key Personnel** – Individuals identified as essential to the completion of the project. The PI/PD is considered the lead on the project. This role is assigned to the person submitting the application and who will oversee the development and completion of the research plan, hence the name Principal Investigator/Project Director. A grant application can have multiple PD/PIs on the application.

  Other senior key personnel can be faculty, co-investigators, post-docs, biostatisticians, or any other role that will perform work that will significantly impact the project.

- **Other Personnel –** Other personnel are individuals or unnamed positions that will contribute to the development of the project. These individuals or unnamed positions are not considered to have a significant contribution to the development of the program and are normally post-docs, graduate, or undergraduate students.

- **Administrative, Secretarial, and Clerical Support** – generally, administrative, secretarial and clerical support are traditional costs that are supported under the indirect cost category since indirect costs include general administration expenses. If administrative, secretarial, and/or clerical support will be included in the budget as a direct cost, then, it must be:
  - allowable per the sponsor guidelines and/or
  - clearly justified in the budget justification that the support is integral to the project and the individuals will be specially devoted to the proposed activities for the effort being requested.

Calculating Salary Effort on a Grant

Compensation for staff working on a grant should be based on the percent of time the Claflin employee will spend on the project. Person-months is the measurement that is often used to determine the amount of effort the employee will devote to the project. Effort is calculated based on the type of appointment; e.g., calendar year (CY), academic year (AY), and/or summer months (SM).

To convert percent effort to person months, multiply the percentage of effort associated with the project, times the number of months of the appointment. For example:

25% of a 9-month academic year appointment equals 2.25 (AY) person months (9 x 0.25= 2.25)
10% of a 12-month calendar appointment equals 1.2 (CY) person months (12 x 0.10 = 1.2)
35% of a 3-month summer term appointment equals 1.05 (SM) person months (3 x 0.35= 1.05)
10% of a 0.5 FTE (Full Time Equivalency)12-month appointment equals 0.6 (CY) person months (12 x .5 X .1 = 0.6)

Another example:
If the regular pay schedule of an institution is a 9-month academic year and the PI will devote 9 months at 30% time/effort and 3-months summer term at 30% time/effort to the project, then 2.7 academic months and .9 summer months should be listed in the academic and summer term blocks of the application (9 x 30% = 2.7 person months; 3 x 30%= .9).

Salary requests for non- Claflin University individuals should be listed under the category of "Consultants" or included into the budget as a sub-award arrangement.

The Sponsored Programs Office maintains an Effort Salary Calculator tool on its website under "**BUDGET PREPARATION**" at http://www.claflin.edu/academics-research/sponsored-programs-test/proposal-development to assist faculty with accurately determining the level of effort and salary to be charged to the grant.

Some sponsors have limitations on the amount of salary that maybe requested in the grant application.

NIH has instituted a salary cap and maintains a website https://grants.nih.gov/grants/policy/salcap_summary.htm that provides up to date salary cap levels.

The NSF has instituted a policy that normally limits salary compensation for senior project personnel on awards to no more than two months of their regular salary in any one year. This limit includes salary received from all NSF funded grants. But the most current NSF policy also states that, if anticipated, any compensation for such personnel in excess of two months must be disclosed in the proposal budget, justified in the budget justification, and must be specifically approved by NSF in the award notice.

Fringe Benefits

Fringe benefits are expenses directly associated with employment and are applicable to all Claflin University salaries and wages. Fringe benefits may vary based on how personnel are classified and include FICA, retirement, worker's compensation, life insurance and health insurance.

The following are the fringe benefits used to develop grant budgets:

- First year for a new full time faculty or staff - 19.85%
- Full time faculty and staff - 35%
- Faculty and staff that do not need full family medical benefits - 24.65%
- Part time staff, faculty, graduate and undergraduate students - 7.65%
- Summer faculty salary - 7.65%

Materials and Supplies

Normally defined as general purpose consumable items that have a short life span in use, less than one year. General office supplies are not normally allowed in this category as the costs of general office supplies is normally included into the indirect cost recovery.

Equipment

An article of nonexpendable tangible property having a useful life of more than one year, and an acquisition cost of $5,000 or more per unit.

Travel

Domestic and/or foreign trips that are directly related to the project. Information on travel should include the destination (if known), who is traveling, and the number of trips along with a breakdown of airfare, hotel, ground transportation, and per diem. Depending on the solicitation and the sponsor, some foreign travel may require prior approval.

Consultant

Professional services performed by an individual who is not employed or affiliated with Claflin University. The service is calculated based on an hourly or daily fee that is negotiated between the consultant and the principal investigator or project director. Consultant arrangements must be confirmed through a signed letter that contains the specific tasks to be performed, period of performance, and the associated fee.

Sub-contract/sub-award agreements

A negotiated agreement with another organization to perform some of the project activities under the supervision of the PI/PD. These types of arrangements are put in place to help the project director with securing expertise not available at their own institution. If the PI/PD is working with staff from another institution, then a sub-award arrangement must be in place to confirm the scope of work and the amount of funds allocated for that activity. The PI/PD cannot contractually commit the University to any agreement without approval through SPO.

When CU is the lead institution and will utilize sub-award institutions to carry out the project, SPO requires the following documents from the sub-award institution, at a minimum:

- a full budget for the entire project period
- a budget justification
- a scope of work
- a letter of commitment signed by an authorized representative at the sub-award institution

The PI/PD should request these items along with any other documentation required by the sponsor, in advance, to give the sub-award institution enough time to prepare and gain the appropriate approvals from their own institution.

Publications

Costs for electronic or printed materials to include such documents as books, research papers, journals, or catalogs.

Alterations/Renovations

Large scale structural changes for building infrastructure and/or utility systems.

Participant Support Costs

Direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects (2 CFR 200.75).

Other Costs

This category is for other costs that do not fall within any of the categories defined above. This could include tuition for graduate students or incentives for participating in a research study.

Indirect costs [a.k.a. Facilities and Administrative Costs (F&A)]

Costs that benefit a common or joint objective and cannot be identified readily and specifically with a particular sponsored program, instructional activity or institutional activity (e.g., utilities, rent, administrative and clerical staff, lab operations and maintenance, research administration and accounting).

F&A is calculated by multiplying the negotiated indirect cost percentage by the approved direct cost categories. Claflin University is approved for using direct costs of salaries and wages, therefore, the indirect cost rate on a grant would be calculated by multiplying the approved percentage rate by the total costs of salary and wages being charged to the budget. The Claflin University Indirect Cost Rate Agreement is on the SPO website http://www.claflin.edu/academics-research/sponsored-programs-test

Indirect cost rates are negotiated with the federal government. Even though the rate is negotiated with the federal government, all grant submissions must adhere to the same rate even if it is a non-federal application. Use of any rate that is not consistent with the current negotiated rate is non-compliant and can result in audit findings and other sponsor sanctions.

Some sponsors will restrict the F&A that is allowed on a grant application. As long as the restricted rate is documented in writing (e.g., solicitation, RFP, etc.) then it must be used instead of the institutional F&A rate.

Budget Justification

The budget justification is a detailed narrative that explains each cost identified in the budget. A budget justification should contain enough detail for the sponsor to verify the appropriateness of the costs. Sponsors reserve the right to revise and or cut the budget if this document does not provide enough information to support the request for funding.

National Institutes of Health (NIH) Modular versus Detailed Budget

The NIH uses 2 different formats (modular versus detailed budget) for budget submission depending on the total direct costs requested and the activity code used.

Modular Budget

NIH uses a modular budget format to **request up to a total of $250,000 of direct costs per year** (in modules of $25,000, excluding consortium F&A costs) for some applications, rather than requiring a full detailed budget. It is highly recommended to create a detailed budget and then create the modular budget. In order to determine how many modules are requested, subtract any consortium F&A from the total direct costs, and then round to the nearest $25,000 increment.

A modular budget justification known as the "personnel justification" should include the name, role, and number of person-months devoted to this project for every person on the project. Do not include the salary and fringe benefit rate in the justification, but keep in mind the legislatively mandated salary cap when calculating your budget.

- *Consortium Justification:* If you have a consortium/subcontract, include the total costs (direct costs plus F&A costs), rounded to the nearest $1,000, for each consortium/subcontract. Additionally, any personnel should include their roles and person-months; if the consortium is foreign, that should be stated as well.
- *Additional Narrative Justification:* Additional justification should include explanations for any variations in the number of modules requested annually. Also, this section should describe any direct costs that were excluded from the total direct costs (such as equipment, tuition remission) and any work being conducted off-site, especially if it involves a foreign study site or an off-site F&A rate.

Detailed Budget

If the **direct costs exceed a total of $250,000 per year** then NIH requires a detailed budget and budget justification. The detailed budget requires a detailed itemized budget that shows all costs being charged to the grant. The budget justification must include a detailed explanation of each cost and how it was derived. If the budget includes a sub-award, then each sub-award must provide a detailed budget and budget justification.

NIH limits F&A to 8% for foreign institution or international organization consortiums participating on the project.

Cost Share

Under certain circumstances, it may be appropriate or required to share the costs of a project. Cost sharing/match/in kind requirements must be discussed with the department dean and chair well in advance of the proposal deadline.

Whenever cost sharing is proposed as part of a sponsored project, the source of funds must be identified and approval obtained from the person with authority to commit those funds. Funds to be provided by entities outside of Claflin University, typically referred to as "third-party" cost sharing, must be supported at the proposal stage by written documentation from the outside entity indicating their commitment to provide cost sharing.

If costs are unallowable by the sponsor, then they cannot be included in the portion of cost share born by the University. All cost share/match/in-kind made to the project by Claflin University must be reviewed and approved by the Division of Fiscal Affairs. **The Division of Fiscal Affairs will only allow the minimum cost share required by the sponsor. Cost share that exceeds the minimum requirement will NOT be approved. The Division of Fiscal Affairs needs between 5-7 days prior to the deadline to review and approve cost share on any application.**

Human Subjects

Proposals that include the use of human subjects must be reviewed and approved by the CU Institutional Review Board (IRB). The approval process includes submission of a protocol to the IRB. The IRB chair should be contacted prior to the PI/PD completing and submitting a protocol for review. The process for the IRB review can be found on the SPO website at http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test/proposal-preparation/

Animal Use

Proposals involving the use of live vertebrate animals must be received and approved by an Institutional Animal Care and Use Committee (IACUC).

Bio-Safety Use

Proposal and laboratory teaching efforts involving the use of recombinant DNA (which are not exempt from NIH guidelines), infectious agents, teratogens, mutagens, carcinogens, biohazards, hazardous waste, and radioactive material should receive bio-safety review.

CITI Training Program

CITI Program offers research ethics, compliance, and professional development education on a number of subjects for various audiences, including researchers, students and faculty, IRB members, research administrators, and IACUC members. The online courses are also designed to be relevant to specific disciplines such as Biomedical as well as Social and Behavioral fields.

Claflin University has a subscription to the training program to offer faculty, staff and students with trainings to fulfill sponsor requirements. If a course that is needed to meet a training requirement is not available, please contact SPO to request the addition of that training module to the subscription.

The full listing courses made available through the CITI Training program can be found on the IRB website at the following link
http://www.claflin.edu/academics-research/sponsored-programs-test/institutional-review-board-committee-(irb)

Institutional Approval of Grant Submissions

As a central institutional support office, the Sponsored Programs Office is responsible for the review and approval of all grant applications and contractual agreements with external sponsors for funding research and program activities. Each Sponsored Programs Administrator in SPO has been assigned specific departments for pre and post award management.

The full listing for each SPO Administrator can be found at http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test/spo-contacts/ . Information to assist faculty with proposal preparation can also be found on the SPO website at http://www.claflin.edu/academics-research/faculty-research/sponsored-programs-test/proposal-preparation/

PI/PDs are not allowed to submit applications that include a full budget (detailed budget and budget justification) to an external entity without SPO approval.

SPO requires the PI to submit a draft of the application **7 days prior** to the deadline with the final application being submitted **at least 5 days** prior to the deadline.

UNLESS THE DEADLINE IS SPECIFICALLY DEFINED AS EARLIER THAN 5 PM BY THE SPONSOR, THE SUBMISSION DEADLINE IS 5PM EASTERN STANDARD TIME (ET) ON THE DEADLINE DATE (EVEN IF THE SPONSOR ALLOWS FOR SUBMISSIONS BEYOND 5PM ET).

Pre-Award: Proposal Preparation and Submission

The standard process to obtain internal approval on all grant applications is as follows:

- The Principal Investigator/Project Director (PI/PD) submits a "Letter of Intent to Apply" to SPO. The "Letter of Intent to Apply" serves as notification the PI is planning to submit a grant application to an external sponsor for funding. The PI can submit the "Letter of Intent to Apply" electronically at the following link https://www.claflin.edu/LIA/login.aspx?ReturnUrl=%2fLIA%2f.
    - Please do not send SPO standard e-mail notifications of intent to apply for a grant. The electronic "Letter of Intent to Apply" https://www.claflin.edu/LIA/login.aspx?ReturnUrl=%2fLIA%2f should be used for this purpose.
    - The portal is user authenticated and can be accessed with the CU network username and password.
    - The PI/PD must either upload a copy of the solicitation or include a link to the solicitation.
    - When available, the PI/PD should upload any draft proposal documents such as the scope of work or budget.
- SPO will review the "Letter of Intent to Apply" and send the PI/PD an acknowledgement email with a recommended timeline for preparing the grant application. The email will also include a request to schedule a pre-proposal consultation meeting with a Sponsored Programs Administrator.
- Prior to the pre-proposal consultation meeting, the Sponsored Programs Administrator will provide the PI/PD with a proposal checklist that contains all the documents needed to complete the application.
- The Sponsored Programs Administrator and the PI/PD hold a pre-proposal consultation meeting to:
    a. Review the guidelines and proposal checklist and advise the PI/PD of the items he/she has responsibility for preparing.
    b. Review timelines and ensure PI/PD understands the internal review process deadlines.
    c. Identify forms that require completion and/or signature.
    d. Discuss and start to develop the budget.
    e. Review resources that are needed to carry out the project
        - Faculty release time – Faculty are responsible for securing approval (see Faculty Release Time Policy)
        - Cost share – Office of Fiscal Affairs needs to review cost share at least 5-7 **days** prior to the deadline
        - Sub-award/consultant arrangements
        - Institutional letters of commitment

- The PI submits a DRAFT of the application **7 days prior** to the deadline to the Sponsored Programs Administrator. The draft includes:
    a. All proposal elements (i.e., budget, narrative, abstract/summary, research plan, biosketch, budget justification, appendix, letters of support, etc.) and any additional documents required by sponsor.
    b. If the application contains a sub-award, the sub-award entity must provide a scope of work, budget, budget justification and signed letter of commitment from an authorized official at the sub-award institution in addition to any other requirements outlined in the program announcement.
    c. If the application contains a consultant arrangement, the terms of the arrangement must be confirmed in writing.
        - For electronic submissions, the PI/PD is to upload the draft application into the sponsor system.
        - For all non-electronic submissions, the draft should be sent to SPO in the format it will be sent to the sponsor.
- The Sponsored Programs Administrator reviews the draft and provides recommendations to the PI/PD for compliance based on sponsor guidelines and University policies.
- The PI/PD submits the FINAL application **5 days** prior to the deadline to the Sponsored Programs Administrator.
    a. A FINAL version of the proposal to include:
    b. All proposal elements (i.e., budget, narrative, abstract/summary, research plan, biosketch, budget justification, appendix, letters of support, etc.).
    c. Other forms or documents required (i.e. statement of institutional commitments, etc.).
        - For electronic submissions, the PI/PD is to upload the FINAL application into the sponsor system.
        - For all non-electronic submissions, the FINAL application should be sent to SPO in the format it will be sent to the sponsor.
- The Sponsored Programs Administrator reviews the final application and alerts the PI/PD of any non-compliance with sponsor guidelines and institutional policies.
- The PI/PD makes the recommended changes and/or gives the Sponsored Programs Administrator approval to submit the application to the sponsor.
- The Sponsored Programs Administrator provides confirmation (preferably via email) to the PI/PD that the application has been submitted.

Applications Submitted Less than 5 Days Prior to the Deadline

Applications Submitted to SPO Less than 5 Days Prior to the Deadline are not guaranteed a thorough review.
If an application is submitted to SPO less than 5 days prior to the deadline, SPO will do its best to accommodate the submission but in all cases cannot provide any assurance that a thorough review of the application to identify non-compliance with sponsor requirements will be performed.

Assurances and Certifications

Assurance and certifications are the confirmations given to a sponsor by signature that the institution is in compliance or will comply with specific regulations set forth by the sponsor. The assurances and certifications are normally signed at the time of proposal submission. But, some assurances may be required after submission and prior to award. SPO is responsible for the thorough review and signature of the assurances and certifications. Faculty should contact SPO to obtain signatures for assurances and certifications for grant applications.

Notification of Award (NoA)

Notification of funding is issued through a notice of award or notice of grant award (NoA/NGA). The NoA/NGA contains the award terms and conditions for the proper usage of funding therefore, it is important to review the NoA/NGA.

Award Acceptance

SPO is responsible for reviewing award terms and securing signatures (when applicable) for the full acceptance of an award. This includes sub-awards and contractual agreements with an external sponsor. Faculty are to work directly with SPO on their acceptance of any new award.

Establish Project Account(s) and PI Briefing

New funding must be processed through SPO for proper award set up. When a new award is issued to the university SPO sends a congratulatory email to the PI/PD to include:

a. The award notification from sponsor
b. Congratulations letter with a request to set up a meeting for the Account Create of the new award
c. Budget request form and instructions. It is the PI/PD responsibility to complete the form.

To ensure that the PD/PI understands their responsibilities in managing their project, an Account Create meeting is set up with SPO and the Division of Fiscal Affairs to review the following:

a. PI/PD to provide an overview of the program and its objective
b. Review the notice of award terms and conditions.
c. Review the Sponsored Program Budget Request form completed by PI/PD to ensure it aligns with institutional policy and sponsor guidelines.
d. Confirm the list of all personnel and effort levels.
e. Determine if there will be changes to the project and/or budget that will require prior approval from the sponsor.
f. If there is a sub-award, confirm the budget will not change and work with the sub-award entity to execute the contractual arrangement.
g. Inform the PD/PI of purchasing policy, hiring policy, reporting requirements, time and effort certification requirements and all other policies and concerns as it relates to their grant/contract/cooperative agreement.
    - Provide guidance on how to prepare the Personnel Request Form (PRF) and Temporary Employment Actions (TEA) forms.
h. Define responsibilities for the PI/PD, SPO and University Grants Accountant in regards to the award management.

Award Management

The Sponsored Programs Administrator works with the PI/PD throughout the lifecycle of the grant to:

- Ensure that expenses charged to the account are allowable, allocable, and reasonable as defined by institutional and sponsor policies - (rules can vary between sponsors and even from one contract to another).
- Manage personnel actions and process TEA and PRFs
- Review programmatic and technical reports
- Prepare continuation budgets
- If there is a sub-award, prepare any amendments to the agreement for execution
- Submit requests for re-budgeting, carryover funds, and no-cost extensions
- Plan renewal applications
- Perform closeout actions
- Initiate effort certification

The PI/PD is responsible for the financial and programmatic oversight of the grant or contractual agreement. The PI/PD must work with SPO, the Division of Fiscal Affairs and other institutional administrative offices to ensure the proper management of grant funds in accordance with sponsor guidelines and university policies.

Sub-Award Set Up

There are two types of actions for sub-award set up:

1. CU is the prime applicant and has sub-award(s) on the application.
2. CU is the sub-award on an application.

1. When CU is the prime applicant and has a sub-award(s) on the application:
   - SPO will work with the sub-award entity to secure a fully executed agreement for the work to be performed.
   - The PI/PD of the sub-award organization **should not begin** work on a project until a fully executed sub-award agreement is in place.

2. When CU is the sub-award on an awarded application:
   - The PI/PD **cannot** begin work on a project until a fully executed sub-award agreement is in place.
   - SPO is responsible for reviewing incoming sub-award agreement to ensure the timeframe, funding amount and terms are acceptable.
   - SPO will work with the lead entity to execute the sub-award agreement.

Neither faculty or staff can legally enter into a binding arrangement with a sub-award organization. This is overseen and completed by SPO.

Sub-Award Management

When CU is the prime entity and has issued a sub-award agreement to another institution participating on the project, it is CUs responsibility to monitor the sub-award performance on the award. Management of the sub-award includes spending review, programmatic review, and audit. Prior to the renewal of each new budget period of the award, the PI/PD is responsible for performing the following actions:

- Confirming the programmatic objectives have been met by the sub-ward for the performance period
- Reviewing the spending rate of the sub-award
- Requesting a new budget, budget justification and scope of work from the sub-awardee for the new budget period

SPO will work with the sub-award institution to issue any new amendments for future work to be performed on the grant by the sub-awardee.

Research Compliance

Each Sponsored Programs Administrator is responsible for ensuring that applications are compliant with federal, state, and local laws and guidelines in addition to university policies for pre and post award management. The following documents should be used as guidance material to assist with confirming research compliance:

Uniform Guidance – Adopted in December 2014, which is a consolidation of OMB Circulars A21, A110, and A133. Uniform Guidance otherwise knowns as UG, is the federal regulations for grant-making agencies and applicants.

https://www.ecfr.gov/cgi-bin/text-idx?SID=5a65e335f02d6d809eed92c9e10cad71&mc=true&node=pt2.1.200&rgn=div5

Research Terms and Conditions (RTC) – Developed for implementing the UG. The RTC apply to research and research related grants made by federal awarding agencies that have chosen to implement the RTC at their agency. RTC includes companion resources such as Appendix A, Prior Approval Matrix; Appendix B, Sub-award Requirements Matrix; and Appendix C, National Policy Requirements. All documents to include the list of the federal agencies that have implemented the RTC can be found at the following link https://www.nsf.gov/awards/managing/rtc.jsp

Financial Conflict of Interest

On January 2013, the **Claflin University Internal Policy #3: Conflict of Interest** became effective. This policy is applicable to all administrators, faculty, and staff employees. It establishes guidelines to protect the integrity and rights of the University. It recognizes the significance of interactions and supports and encourages employee's participation in research, publications, external organizations, community activities, collaboration with other institutions, and professional and personal endeavors. Employees are expected to perform their duties and conduct business in an appropriate manner, with academic integrity, and in the best interest of the University by demonstrating at all times their commitment to the highest intellectual and ethical standards. Claflin University management has implemented specific and general measures to control perceived and/or actual conflicts of interest.

Employees will be required to complete a Disclosure Form. The information on the form will ascertain if a conflict of interest exists based upon the employees' activities. Disclosure will not prevent the employee from maintaining the disclosed circumstance if it does not create a conflict of interest. Adjunct faculty members and hourly employees may be required to complete a Conflict of Interest Form. Furthermore, an updated disclosure form is required whenever conditions change.

See University Policy 200:21 Conflict of Interest
University Policy 200.25 Nepotism

Research Misconduct

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Misconduct in research, scholarly, creative, or sponsored activities is prohibited at the university, and all allegations of such misconduct will be investigated thoroughly and resolved promptly. Research misconduct does not include an honest error or differences of opinion.

Please also see the CU Policy and Procedures for Responding to Allegations of Scientific or Other Misconduct in Funded Research. This policy applies to all administrators, faculty, staff and students in the performance of scholarly and creative activity and research conducted at CU whether performed under external or internal funding.

Contract Agreements

Grants are designed to accomplish a public purpose, advance a national objective, address a public problem or stimulate a particular activity desired by the awarding agency, whereas contracts are essentially designed to acquire goods and services, with a significant premium placed on delivery or performance and with more rigorous terms and conditions than a grant. Many types of entities use the contract as a funding mechanism to include non-profit, for-profit, State and Federal.

SPO is charged with reviewing contractual agreements against institutional policy. Contractual agreements are usually negotiable. Before an agreement is executed, SPO must review the language to determine if negotiations are required to bring the terms to compliance with institutional policies. SPO will work with the sponsor on all negotiations and secure the appropriate signatures for execution.

Personnel Actions

Claflin University utilizes Position Recommendation Form (PRF) and Temporary Employment Actions (TEA) to hire qualified applicants for vacant positions.

Position Recommendation Form (PRF)

The PRF is used to hire a qualified permanent candidate for a vacant position. The PI/PD and department are responsible for preparing the PRF and working with Human Resources to fill grant funded vacancies. PRFs are done through the completion of a paper form that must be signed by the department and then routed for signature and approval.

If the position is grant funded, the Sponsored Programs Administrator will review the action to determine the following:

- it is consistent with the original budget
- the salary is in the approved budget
- it is an allowable cost
- it is being charged to the correct budget category
- funds are available to cover the cost

Temporary Employment Actions (TEA)

Temporary employee recruitment is the hiring of faculty and/or staff on a temporary basis as the need arises. Supervisors should obtain approval from the Provost/Vice President to hire a temporary employee. The TEA process for a given position should begin a minimum of 15 workdays/3 weeks before the temporary work is scheduled to begin.

The President of Claflin University has final approval for University hiring to include the hiring of temporary employees. As such, until the President approves the hiring of the individual in a temporary position, that individual is not hired and should not report to work. The Payroll Office processes all TEAs.

NOTE: TEAs are for individuals rendering services to the University. A stipend payment will be paid to an individual who does not render a service to the University. Examples include payments for attending a training for completing a survey. In addition, a payment to a student which is linked to a course grade or the student's overall academic performance will be paid by stipend.

The PI/PD should initiate a TEA electronically through the TEA system for all temporary hires. The Sponsored Programs Administrator will review the action in the TEA system to determine the following:

- it is consistent with the original budget
- the salary is in the approved budget
- it is an allowable cost
- it is being charged to the correct budget category
- the expenses are in the appropriate budget period
- funds are available to cover the cost

Relevant Claflin University Policies regarding hiring and new employee expectations:

- University Policy 100.08 – Payment Method: Temporary Employment Agreement or Stipend
- University Policy 200.01 – Selection and Hiring
- University Policy 200.05 - Temporary Employment
- University Policy 200.11 – Use of Vacation Leave and Sick Leave Under Sponsored Programs
- University Policy 200.27 – Policy on External Employment
- University Policy 200.28 – Dual Internal Employment

Travel Actions on a Grant

SPO is responsible for the review of all travel related expenses on a grant. Travelers are to submit their travel requests at least ten work days in advance of the travel date to the appropriate Vice President. The requests are submitted through the Employee Travel Tracker (ETT) system. All travel requests must include the appropriate travel documents. After the travel has been completed, travelers must submit the appropriate receipts and documents within ten working days of the travel date.

The Sponsored Programs Administrator is responsible for the review and approval of all pre and post travel actions that are being charged to a grant account. All reviews are done through the ETT system. The review is to confirm the following:

- it is consistent with the original budget
- it is an allowable cost
- it is being charged to the correct budget category
- the expenses are in the appropriate budget period
- funds are available to cover the cost
- the appropriate back up documentation/receipts are uploaded to the request

Travel Visa Card Reconciliation

The CU credit card is only for travel related purchases. Travelers are required to use the CU credit card to charge all travel related purchases. The Vice President level are the only positions at CU that have the ability to purchase items on the CU credit card for non-travel related items for emergency situations. The travel card should not be used to pay for expenses for external CU employees (e.g., consultants).

Every month, the travel card holder is required to allocate the charges on their credit card (See Visa Allocation Instructions). SPO is responsible for the review and approval of all grant related travel actions that are charged on the CU credit card. Therefore, if your report needs to be approved by SPO, please submit your report in time for SPO to review it and send the final approved report to Fiscal Affairs by the due date each month. Also, please note that a suspension will be placed on credit card users who have not submitted approved expense reports by the noted due dates issued by the Division of Fiscal Affairs.

Note - VISA Rewards Fee(s) should be allocated to account# 01-50-5236-6635-0000

Expenditure Review

Charges for materials, supplies and other expenses on a grant are processed through the Jenzabar eRequisition approval system. A payment action starts out as a **requisition** and then becomes a **purchase order (P.O.)** and ends as a **vendor approved payment.** The CU Purchasing department works to provide reimbursement to vendors. Requisitions cannot be submitted and approved by the same person. Each approver on the approval track is **<u>allowed up to 3 business days</u>** to approve or disapprove the action.

The Purchasing department does not cover:

- Travel
- Salary and wages Temporary or Permanent (excluding employee reimbursement)
- Credit Card Payment
- Wire transfers – these actions still need a requisition to be processed.

Setting up a New Vendor in the System

The PI/PD and his/her department administrative staff are responsible for setting up a new vendor in the system.

Review the Claflin University Procurement Manual located at http://www.claflin.edu/about/offices-services/procurement for additional information on the purchasing policy and the following:

- How to Create an E-Requisition
- How to Create an Open P.O.
- New Vendor Request Form
- Notice to Vendors

- Claflin F&Qs for purchasing

1. An initiator of an eRequisitions can expedite an action by requesting a RUSH. This is completed by walking around or calling each approver on the approval track to get the approval completed as soon as possible.
2. Accounts Payable is responsible for processing vendor payments to include employee reimbursement and stipends.
3. All invoices are to be submitted to Accounts Payable upon receipt.

Stipends

This type of payment is made to individuals who do not provide a service. These types of stipend expenses are considered non-service payments that are processed through Accounts Payable. Examples of non-service payments include payments and other one-time monetary awards for attending training sessions, being the subject in a study, and completing a survey; also, awards to high-school students participating in a summer STEM program. Finally, non-service payments also include academic stipends. In addition, a payment to a student which is linked to a course grade or the student's overall academic performance will warrant payment by stipend.

Computer Purchases

When purchasing computers through Information Technology (IT), the initiator of the eRequisition must put it on either the Grant IT or Institutional IT track to ensure that the appropriate IT authorization is received for approval of the purchase:

- Grant IT (charged to a grant account), or
- Institutional IT (charged to an institutional account)

Administrative Actions

Budget Revisions on a Grant Account

A budget revision allows the PI/PD to move funds from one budget category to another to pay for expenses needed to support the activities on the grant. Budget revisions must be scrutinized carefully as every sponsor imposes limitations on how funds can be spent on the project or may require prior approval before the action is approved.

The PI/PD is responsible for initiating a budget revision request. The PI/PD is to submit the completed Budget Revision form with appropriate signatures to SPO for processing. A copy of the Budget Revision – TEMPLATE can be found on the SPO website under Budget Revisions at the following link http://www.claflin.edu/academics-research/sponsored-programs-test/post-award-management.

SPO determines allowability by reviewing the award terms and conditions. If the action is allowable and doesn't require prior approval, then SPO will work with PI/PD to get the budget revision action completed and processed by the Division of Fiscal Affairs.

If the action requires prior approval, then SPO will communicate with the sponsor to gain approval for the budget revision prior to initiating the request through the Division of Fiscal Affairs.

No Cost Extensions

A no cost extension extends the period of performance on a project. No cost extensions are usually requested to provide additional time to complete work on the project to meet the deliverables or to ensure the proper close-out of an award. A sponsor may require prior approval of a no cost extension or may grant the institution the authority to proceed without prior approval.

If a no cost extension is needed, the PI/PD must contact SPO to initiate the request. SPO will review the award terms and conditions to determine if a no cost extension is allowable and assess any time constraints imposed for submission of the request. If the no cost extension is allowable then SPO will submit the request to the sponsor. Upon approval, SPO will ensure the account reflects the new end date of the award.

Change of PI/PD

When a change of PI/PD on a sponsored project becomes necessary, sponsor approval/notification may be required. The current PI/PD or department chair is responsible for submitting the request to SPO for processing. The request should include the following:

1. Name of PI/PD issued the award
2. Sponsor Name
3. Account number
4. Name of the nominated replacement, along with a current biographical sketch
5. A full justification for the requested change with approval from the Department/School

The SPO Administrator should review the award terms to determine allowability for a change of PI/PD. If the change of PI/PD is allowable, then SPO will work with the sponsor to process the action.

Grant Transfer to Another Institution

A sponsor awards funds to the institution and not the PI/PD, therefore, if a PI/PD leaves the institution, he/she must obtain permission from Claflin University to take the award to the new institution. The PI/PD must obtain approval from the Department/School/Administrators before SPO can submit a grant transfer request to the sponsor. Upon approval from the Department/School, the following information should be submitted to SPO:

1. Name of PI/PD
2. Sponsor Name

3. Account number
4. Name of new institution and an administrative contact at the new institution
5. Letter signed by appropriate Dean and Chair giving approval to transfer the grant to the new institution

SPO will work with Division of Fiscal Affairs to put together a forecast of remaining funds based on the date of the transfer to the new institution. SPO will submit the request to the sponsor and work with the new institution to transfer any remaining funds after all allocable expenses are charged to the project.

Effort Certification

Per Uniform Guidance Requirements, 2 CFR§ 200.430 (i) Compensation – Personal Services, Standards for Documentation of Personal Services, time distribution records must be kept for all employees whose salary is paid in whole or in part with federal funds or is used to meet a match or cost-share requirement for a grant.

The time and effort requirement applies to all individuals who commit and devote effort to a sponsored project as well as those individuals involved in certifying the effort of individuals on a sponsored project.

Claflin Policy

Claflin University has adopted the after-the-fact system as the basis for its distribution of salaries and wages for all faculty and staff. Under this system the distribution of salaries and wages is supported by the activity reports.

1. Activity reports will be generated by SPO and will reflect the distribution of activity by employees covered under sponsored program activities.
    - Effort Reports are emailed/printed **no earlier** than 15 days after the end of the quarter and **no later** than 30 days after the end of the quarter.
    - Reports are distributed, via e-mail and interoffice mail to each PI/PD in their departments.
    - A cover memo is attached to each report group indicating that the forms must be signed and returned within 30 days.
    - Sixty days after reports are mailed, a subsequent memo is sent to any department or division chair, with a copy to the Associate and Assistant Vice Provost for Research, that hasn't returned their forms.
    - Thirty days after the follow-up memo, which is ninety days after the initial report mailing, a final review and assessment is completed and resolution may consist of a special resolution meeting with the Associate and Assistant Vice Provost for Research.
2. The reports will be prepared and must be completed quarterly for professorial (faculty) and professional staff.

If the employee is paid through time cards or other forms of after-the fact payroll documents as original documentation for payroll and payroll charges, such documents shall qualify as records for this purpose, provided that they meet certain requirements.

Each employee or the appropriate official with firsthand knowledge of the employee's activities must review, sign and date the Activity Report, and return it to SPO. Adjustments or corrections made on the Activity Report will be forwarded to Human Resources to make the necessary adjustments.

If all reports are not submitted in a timely manner to the Sponsored Programs Office, then SPO will send notification to all outstanding individuals of the lateness of the report with a copy to the department chair, dean and the Office of the Provost.

Programmatic and Financial Reporting

Reporting requirements can be found in the award terms and conditions. Although each sponsor's reporting requirements may vary, it is usually required that a PI/PD prepare and submit a programmatic report to document the progress on a given project.

All sponsor requirements must be met in a timely manner and the PI/PD is responsible for submitting all reports to SPO for review and approval prior to submission to the agency/sponsor.

The Vice President for Fiscal Affairs is the authorized institutional representative with authority to sign institutional budgets and financial reports. Any official notification to a sponsor regarding remaining balances must be provided by the Division of Fiscal Affairs/University Grants Accountant and cannot be sent outside of the institution without approval from the Division of Fiscal Affairs in conjunction with SPO.

To facilitate receipt of all reports, SPO will send out a notification to the PI/PD, with a copy to the Division of Fiscal Affairs 90 days prior to the end of each budget period. The notification triggers the 90-day financial and programmatic budget period reporting review process.

Close Out of Grant Award

It is the responsibility of the PI/PD to fulfill commitments stated in the proposal, award terms and conditions. The PI/PD is expected to submit all programmatic reports and other reports such as property and invention statements. The Division of Fiscal Affairs is responsible for submitting all financial reports.

The PI/PD must consider the lead time in ordering goods because items must be delivered and used for the benefit of the project. A large amount of orders placed at the end of a project may give the appearance of spending up the available budget balance for goods to be used for future research. All encumbrances should be cleared from the account at least 30 days prior to the official end date of the grant.

When the project ends, certain administrative actions are required to ensure an orderly closing of the grant and contract. While these requirements vary by sponsor, the following reports are necessary for most projects:

- Final Technical Report
- Final Report of Inventions
- Final Inventory/Property, and
- Final Financial of Report (including cost-sharing, if appropriate)

Helpful Websites

1. The American Community Survey (ACS) helps local officials, community leaders, and businesses understand the changes taking place in their communities. It is the premier source for detailed population and housing information about our nation. - https://www.census.gov/programs-surveys/acs/
2. Percentage Calculator - https://percentagecalculator.net/
3. NIH Policy and Compliance - https://grants.nih.gov/policy/index.htm
4. NIH Modular Research Grant Applications - https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget/modular.htm
5. NIH Grants & Funding Information - https://grants.nih.gov/grants/oer.htm
6. NIH Frequently Asked Questions - https://grants.nih.gov/grants/ElectronicReceipt/faq_full.htm
7. NIH Salary Cap Summary - https://grants.nih.gov/grants/policy/salcap_summary.htm
8. NIH Write Your Application Guidance - https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/write-your-application.htm

Sponsor Portals

NIH eRA Commons/ ASSIST Login -	eRA Commons is an online interface where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants. Users can shepherd their application in eRA Commons through the grants lifecycle from receipt to closeout. The link to eRA Commons - https://public.era.nih.gov/commons/public/login.do?TYPE=33554433&REALMOID=06-1edb031f-46c7-44b3-b803-60b537de74d2&GUID=&SMAUTHREASON=0&METHOD=GET&SMAGENTNAME=-SM-938PYmoLVb4VrDeXo04LZUDVDvc%2b3899ByInEAjuSUvWNIGfB2zRpWiCivYGCogG&TARGET=-SM-HTTPS%3a%2f%2fpublic%2eera%2enih%2egov%2fcommons
NSF Research.gov/ Fastlane	https://www.research.gov/research-portal/appmanager/base/desktop?_nfpb=true&_pageLabel=research_home_page FastLane has a demonstration application for the orientation of new FastLane users. The demonstration is available by clicking the "FastLane Demonstration" link or by entering the address www.fldemo.nsf.gov. Users may go to this address and get familiar with FastLane functions. You do not have to be registered with FastLane to use it. In fact, registered users cannot login the applications by using their real login information. Most of the applications have pre-filled login values that should not be changed. The link to Demonstration application - FastLane Demonstration
NASA INSPIRES	NSPIRES is the NASA Solicitation and Proposal Integrated Review and Evaluation System. This web-based system supports NASA research from the release of solicitation announcements through the peer review and selection processes. The system is intended to facilitate conducting of research business with NASA for the science and technology research community. https://nspires.nasaprs.com/external/
Grants.gov	Electronic portal for finding and applying for federal grants. https://www.grants.gov/

Department of Defense, eBRAP	The CDMRP eBRAP application (eBRAP) is designed to allow Principal Investigators (PIs) to submit their pre-application electronically over the Internet through a secure connection, and view and edit the contents of their pre-applications and full applications, as submitted through Grants.gov. PIs can access the eBRAP home page at https://eBRAP.org/. (A pre-application is required for all applications submitted to CDMRP. Full applications must be submitted through Grants.gov.)
Department of Energy (DOE), Portfolio Analysis and Management System (PAMS)	PAMS is the system used for grants management at DOE. https://pamspublic.science.energy.gov/webpamsepsexternal/login.aspx
Department of Education (G5)	G5 is the Department of Education's new grants management system https://www.g5.gov/g5/home/!ut/p/z1/04_Sj9CPykssy0xPLMnMz0vMAfIjo8zijQycDQwMvINDzYNczQ08Td1MvAK8Q41M3Az0C7IdFQEvWAo6/
proposalCentral	proposalCentral is a grants management solution shared by many government, non-profit, and private grant-making organizations for application submission, review, selection and award. https://proposalcentral.altum.com/

Glossary of Terms

Audit - A formal examination of an organization's or individual's accounts or financial situation. An audit may also include examination of compliance with applicable terms, laws, and regulations.

Authorized Organization Representative (AOR) - The individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

Basic Research - According National Science Foundation (NSF), basic research is research that advances scientific knowledge without a specific immediate commercial objective.

Bayh - Dole Act of 1980 (Patent Rights in Inventions Made with Federal Assistance)- Also known as the University and Small Business Patent Procedures Act of 1980 (Pub. L. 96-517) uses the patent system to promote the utilization of inventions arising from federally supported research and development; to encourage maximum participation of small business firms in federally supported research and development efforts; to promote collaboration between commercial concerns and nonprofit organizations, including universities; to ensure that inventions made by nonprofit organizations and small business firms are used in a manner to promote free competition and enterprise without unduly encumbering future research and discovery; to promote the commercialization and public availability of inventions made in the United States by United States industry and labor; to ensure that the Government obtains sufficient rights in federally supported inventions to meet the needs of the Government and protect the public against nonuse or unreasonable use of inventions; and to minimize the costs of administering policies in this area.

Broad Agency Announcement (BAA) - A broadly disbursed invitation from a federal sponsoring agency for the submission of proposals specific to the agency's area of research.

Catalog of Federal Domestic Assistance (CDFA) - an online database of all federal programs available to state and local governments, federally-recognized Indian tribal governments, territories and possessions of the United States, domestic public, quasi-public, and private profit and non-profit organizations and institutions, specialized groups and individuals.

Closeout - means the process by which a Federal awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and Federal awarding agency.

Congressional district – One of a fixed number of districts into which a state is divided, each district electing one member to the national House of Representatives.

Cooperative Agreement - an award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity contemplated by the award.

Cost Principles - A set of rules that are used to achieve uniformity in the treatment of costs by specific type of recipient organization.

Cost share - Some federal agencies expect that universities will contribute to the sponsored project. Others require that universities match or share the cost of doing the research.

Crowdfunding - A way to raise funds for a specific cause or project by asking a large number of people to donate money, usually in small amounts, and usually during a relatively short period of time, such as a few months. Crowdfunding is done online, often with social networks, which makes it easy for supporters to share a cause or project cause with their social networks.

Data Safety Monitoring Board (DSMB)/Data Safety Monitoring Committee (DSMC) - is an independent group of experts who monitor patient safety and treatment efficacy data while a clinical trial is ongoing.

Debarment- action taken by a debarring official in accordance with regulations to exclude a person from participating in covered transactions.

Electronic Research Administration - provides applicants, grantees, and federal staff the tools necessary for electronic processing of grants. Examples of the electronic resources are as following: the internet, the world wide web, and other electronic tools.

Export Controls - The federal definition of export controls is U.S. federal government laws and regulations that require federal agency approval before the export of controlled items, commodities, technology, software or information to restricted foreign countries, persons and entities (including universities).

Extramural Research - Research supported by NIH through a grant, contract, or cooperative agreement.

False Claims Act- covers fraud involving any federally funded contract or program with the exception of tax fraud.

False Statement Act - covers any false, fictitious or fraudulent statements or representations in any matter within the jurisdiction of any department or agency of the United States.

Financial conflict of interest - A financial conflict of interest exists when the grantee's designated official(s) reasonably determines that an investigator's significant financial interest could directly and significantly affect the design, conduct, or reporting of the PHS-funded research.

Financial Status Report (FSR) - A financial report due 90 days after the end of each budget period for those awards not under SNAP, and at the end of the competitive segment for those awards under SNAP, showing the status of awarded funds for that period. The report is mandatory for continued funding of the grant.

Funding Opportunity Announcement (FOA) - A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program.

Global Economy Act of 2013 - Also known as STEM Education for the Global Economy Act of 2013. A bill to improve student academic achievement in science, technology, engineering and mathematics subjects by implementing allotting formula grants to states and, through them, awarding competitive sub-grants to high-need local educational agencies (LEAs) or educational service agencies. Amends the Elementary and Secondary Education Act of 1965 to replace the Mathematics and Science Partnerships Program with a STEM Education Program.

Health Insurance Portability and Accountability Act (HIPAA) - provides federal protections for individually identifiable health information held by covered entities and their business associates and gives patients an array of rights with respect to that information.

Indirect Costs - Are those costs incurred for common or joint objectives that cannot be readily identified but are necessary to the operations of the organization.

Informed Consent - Person's voluntary agreement, based upon adequate knowledge and understanding, to participate in human subjects research or undergo a medical procedure. In giving informed consent, people may not waive legal rights or release or appear to release an investigator or sponsor from liability for negligence.

Institutional Review Board (IRB) - The board that reviews and approves human subject’s protocols.

Intellectual Properties (IP) - any product of the human intellect that the law protects from unauthorized use by others.

Limited submission - occurs when a sponsor restricts the number of grant applications from a single institution. This RFP for the Small Business Technology Transfer Program from NSF only permits two proposals per institution.

Material Transfer Agreement (MTA) - agreement between parties regarding the use and disposition of materials or information shared from one party to another.

Modular - Specific to NIH R01, R03, R15, & R21 awards that have direct cost budgets of $250K or less that require no budget detail with the proposal submission. Payments are made in $25K increments.

Office of Management & Budget (OMB) - Executive Branch office assisting the U.S. president in preparing the Federal budget, evaluating agency programs and policies, and setting funding priorities. In setting policy, OMB issues Government-wide policy directives, called circulars that apply to grants.

Research Misconduct - is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Pre-Award Costs - Any cost incurred prior to the beginning date of the project period or the initial budget period of a competitive segment (under a multi-year award), in anticipation of the award and at the applicant's own risk, for otherwise allowable costs.

Protocol - The written description of a clinical study. It includes the study's objectives, design, and methods. It may also include relevant scientific background and statistical information.

Project/Program Director - Individual responsible for supervising the sponsored program for the funded agency. Usually applies to a large, multi-project part, cooperative agreement or contract.

Proposal - Application for funding that contains all the information necessary to describe project plans, staff capabilities, and funds requested. Formal proposals are officially approved and submitted by an organization in the name of the principal investigator.

Research - investigation and experimentation aimed at the discovery and interpretation of facts, revisions of accepted theories or laws in the light of new facts or practical applications of such new or revised theories or laws.

Representations and Certifications (Reps and Certs) - Statements of compliance completed by the institution that must accompany federal contracts and proposals.

Request for Proposal (RFP) - When a funder, such as a government office or a foundation issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures.

Sub-recipient - Sub-recipient-an entity that expends awards received from a pass-through entity to carry out a program. In other words, as found in the OMB Circular A-133 Compliance Supplement, "a sub-recipient relationship exists when funding from a pass-through entity is provided to perform a portion of the scope of work or objectives of the pass-through entity's award agreement with the…awarding agency." (A pass-through entity is an entity that provides an award to a sub-recipient to carry out a program).

Technology transfer - In the context of research administration, technology transfer occurs when new technologies or technological advancements developed by university researchers who are funded by federal research dollars are moved from academia to the marketplace "to fulfill public and private needs".

Total Direct Cost - The total of all direct costs of a project.

Translational research (aka translational science) - Broadly defined, translational research seeks to move the discoveries of basic science into practical applications. Used in the context of health care (which seems to be where it is most often found), it typically is defined as "bench-to-bedside," meaning that discoveries made in laboratories should be transferred or applied to the patient (i.e., the bedside) and by extension, the entire community or population.

Unsolicited Proposal - Proposal initiated by the applicant that defines the project concept.

Unallowable Costs - Costs determined to be unallowable in accordance with the applicable cost principles or other terms and conditions contained in a grant award.

Faculty Release Time Policy

Office of the Provost

Tingley Memorial Hall
Tel +1 803.535.5417
Fax +1 803.535.5170

Guidelines for Faculty Release-Time

Full-time Faculty seeking release from their normal teaching obligation must complete the Release-Time Form (RTF) prior to any reduction in course load. No release-time will be granted unless, and until, the RTF is fully approved by the Provost through the regular channels (via Department Chair/Coordinator/Director and Dean).

Release course time will not be approved for the following activities: work done as part of the normal faculty workload, directing conferences, scholarship, advisement, editing journals, leadership in professional organizations and paid consultantships. Among the activities that could qualify for released course time are the following: Department Chair or other administrative duties (assigned by the Chair, Dean, Provost or President, such as Director of International Studies), National Accreditation or Academic Program Review, Self-Study Chair, externally funded research and externally funded paid consultantships.

The individual faculty member is responsible for completing the RTF at least a semester before the release is requested. If the release is conditioned upon external funding, submit the RTF and the Internal Proposal Form concurrently with the submission of the funding request. The completed RTF is submitted to the Department Chair/Coordinator/Director for review and approval and then to the Dean and Provost or Vice-Provost for their review and approval. The form must be competed and fully-approved prior to the start of any requested release time, and before the Master Schedule is due in the Office of Records and the Office of Provost (normally mid-September for following spring semester and mid-February for fall semester Master Schedules, respectively).

Claflin University
Academic Affairs
Faculty Release-Time Form

NAME:____

DEPARTMENT/SCHOOL:____

RANK:_______________________ TELEPHONE:____________________

SEMESTER/S (for release): ☐ Fall ☐ Spring YEAR/S:___________________

NUMBER OF CREDIT HOURS TO BE RELEASED:____________________________________

Describe purpose of release from normal teaching load:

Requested By:____ Date:__________________________
Faculty Member

____

Mark where replacement cost for course release is to be paid from:

☐ GRANT ☐ DEPARTMENT ☐ SCHOOL ☐ OFFICE OF PROVOST ☐ OTHER

Provide Account Number and Name:____

☐ Approved ☐ Disapproved _________________________________ ____________
Department Chair or Coordinator Date

☐ Approved ☐ Disapproved _________________________________ ____________
Dean Date

☐ Approved ☐ Disapproved _________________________________ ____________
Provost or Vice-Provost Date

Policy and Procedures for Responding to Allegations of Scientific or Other Misconduct in Funded Research

POLICY AND PROCEDURES
FOR RESPONDING TO ALLEGATIONS OF SCIENTIFIC OR OTHER MISCONDUCT IN FUNDED RESEARCH

Claflin University (CU) is committed to maintaining truth in its research, creative and sponsored programs activities. This policy applies to all administrators, faculty, staff and students in the performance of scholarly and creative activity and research conducted at CU whether performed under external or internal funding.

This policy is not meant to restrain academic research or other sponsored programs in any way; but rather to ensure the integrity and the highest standards of ethical behavior on the part of every member of the University Family. It meets the certification and requirement guidelines of Section 493 of the Public Health Service (PHS) Act as well as other Federal and State agencies and private foundations.

Misconduct in research, scholarly, creative, or sponsored activities is prohibited at the university, and all allegations of such misconduct will be investigated thoroughly and resolved promptly.

Definitions

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- *Fabrication* is making up data or results and recording or reporting them.
- *Falsification* is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- *ORI* means Office of Research Integrity, the office within the U.S. Department of Health and Human Services (DHHS) that is responsible for the scientific misconduct and research integrity activities of the U.S. Public Health Service.
- *PHS* means the U.S. Public Health Service, a component of the DHHS
- *PHS regulation* means the Public Health Service regulation established standards for institutional inquiries and investigations into allegations of scientific misconduct, which is set forth at 42 C.F.R. Part 50, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science".
- *Plagiarism* is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Research misconduct does not include honest error or differences of opinion.
- *Respondent* means the person(s) against whom an allegation of scientific misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.
- *Whistleblower* means a person who makes an allegation of scientific misconduct.

Allegations of Misconduct

All University family members are encouraged to report research or other sponsored programs misconduct if and when they believe sufficient and substantive evidence exists. No individual will be subjected to personal and institutional reprisals when they, in good faith, report alleged misconduct. Such persons will be protected, to the maximum extent possible.

Information about charges of alleged misconduct in research will only be disclosed to the appropriate CU and federal or state authorities or as otherwise required by law.

Individuals must be advised in writing in a timely fashion of the nature of an allegation when he/she has an allegation related to research misconduct directed at them. The individual must be afforded confidential treatment to the extent possible and a prompt and thorough investigation consistent with any applicable collective bargaining agreement, or other university policies and procedures. The individual shall have the right to have a representative of the group present when the individual meets with the representatives of CU or any inquiry or investigative bodies in connection with the allegation made.

The Associate Vice Provost for Research and Vice Provost for Research are responsible for coordinating and implementing this policy, disseminating this policy to all faculty and to others involved in research or creative endeavors, maintaining all documents and records relating to this policy, and obtaining and keeping current any and all assurances of compliance with Federal and state regulations pertaining to misconduct.

Protection of the Whistleblower and the Responder

CU will protect the privacy of those who report misconduct in good faith to the maximum extent possible. If requested by the whistleblower, his/her anonymity will be honored by the institution during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The whistleblower will be advised that if the matter is referred to an investigation committee and the whistleblower's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

The respondent will be treated fairly in the inquiry or investigation and confidentiality maintained to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation.

Handling Allegations of Misconduct

Initiation of an Inquiry

The purpose of an inquiry is to separate allegations deserving further investigation from frivolous, unjustified or clearly mistaken allegations.

An allegation of misconduct must be submitted in writing to the Associate Vice Provost for Research and Vice Provost for Research. The allegation should be signed and delivered. The person making the allegation must agree to support it if requested before University officials and any committees that may be appointed under these procedures.

The Associate Vice Provost for Research and Vice Provost for Research will immediately assess the allegation to determine if there is sufficient evidence to warrant an inquiry, and whether the allegation falls under the definition of scientific misconduct.

Conducting the Inquiry

The Inquiry is the stage of the review process where factual information is gathered and reviewed to determine if an investigation of the allegation is warranted. An inquiry is not a formal investigation. The Associate Vice Provost for Research and Vice Provost for Research, along with the supervisor, or their designees, will conduct an inquiry regarding the allegation to determine whether an investigation is warranted. The Associate Vice Provost for Research and Vice Provost for Research will work together to prepare a written report at the conclusion of the inquiry providing a description of the evidence reviewed, a list and summary of interviews, and a recommendation as to whether an investigation is warranted. The individual against whom the allegation is made shall be given a copy of the report. He/she may respond to the report and the response shall become a part of the inquiry report.

The inquiry stage shall be completed within 90 days unless circumstances clearly warrant a longer period. If the inquiry takes longer than 90 days, the written inquiry report shall include documentation of the reasons for the extended time.

The affected individual will be given copies of written documents (if any) that support the allegations.

Investigating the Allegation

If, following the inquiry, the Associate Vice Provost for Research and Vice Provost for Research determines that the allegation falls within the definition of Scientific Misconduct and is substantial enough to allow specific follow-up, he/she should promptly convene an Inquiry Committee to initiate a full investigation/hearing. During the inquiry and investigative stages, CU will fully comply with all applicable federal and state regulations governing allegations of scientific misconduct.

Within thirty (30) days after the issuance of a report by the Inquiry Committee concluding that a Formal Investigation of the Allegations of possible Scientific Misconduct is warranted, a three (3) member Research Investigation Hearing Committee shall be convened by the Associate Vice Provost for Research and Vice Provost for Research. This Committee must be composed of members who have the appropriate expertise to carry out a thorough search for and an authoritative evaluation of the relevant evidence. The committee may include members or consultants from outside the university committee having appropriate substantive expertise if such expertise is not present within the university community or if a conflict of interest could arise from appointing a member of the university community to evaluate the evidence.

The Respondent (s) shall be given at least seven (7) days advance notice of the date or dates on which the hearing shall be conducted. The committee will examine all documentation and will provide the Respondent (s) with the opportunity to present evidence and testimony in defense of the allegations.

The Investigation will be concluded within one hundred twenty (120) days of the appointment of the Investigation Hearing Committee. The committee shall prepare the final report, make the report available for comment by the subject of the Investigation and submit the report to ORI within 120 days. If the committee cannot complete its report within 120 days of its initiation and the report of possible Scientific Misconduct involves a Research project that is funded by the PHS, the Committee must submit a written request to the Office of Research Integrity (ORI) for an extension, which shall include an explanation for the delay, an interim report on the progress of the Formal Investigation and an indication of the additional steps which must be taken and the amount of additional time which will be required to complete the Formal Investigation and issue a report. A copy of any such request shall be initiated by the Sponsored Programs Office.

The Formal Investigation Report shall be strictly confidential and must include the policies and procedures under which the investigation was conducted, describe how and from whom information was obtained, state the findings, explain the basis for the findings, include either the actual text or an accurate summary of the position of each person whom the Investigation Hearing Committee concludes has engaged in Scientific Misconduct, as well as whether any sanctions have or may be imposed by the University. Records of the proceedings shall be maintained by the Formal Investigation Committee for no less than five (5) years following the termination of the Formal Investigation.

Complainants and Respondents must respond to the final report, if he/she wishes, in writing to the Investigation Committee within fourteen (14) days following the issuance of the final report.

Institutional Actions

A. If the investigation does not confirm the alleged unethical scientific practices:

The Associate Vice Provost for Research and Vice Provost for Research must take appropriate action to ensure that the reputation of the respondent(s) is cleared of suspicion.

Other interested parties such as collaborators, supervisors and agencies sponsoring or funding the research, must be notified that the respondent(s) was absolved of wrong doing by the investigation.

The respondent must be given the opportunity of having a written notice of clearance sent to the relevant members of the faculty from the Research Investigative Hearing Committee.

B. If the investigation confirms the alleged unethical scientific practice:

The actions may include:

Withdrawal or correction of all pending or published abstracts and papers emanating from the research where scientific misconduct was found.

Removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment, restitution of funds as appropriate.

C. Allegations Not Made in Good Faith

Associate Vice Provost for Research and Vice Provost for Research will determine whether the whistleblower's allegations of scientific misconduct were made in good faith. If an allegation was not made in good faith, the Associate Vice Provost for Research and Vice Provost for Research will determine whether any administrative action should be taken against the whistleblower.

References: NIH, A Guide to the Handling of Scientific Misconduct Allegations in the Intramural Research Program, May 2001—Prepared by the NIH Committee on Scientific Conduct and Ethics

Association of American Universities, National Association of State Universities and Land Grant Colleges and Council of Graduate Schools. Framework for Institutional Policies and Policies to Deal with Fraud in Research. Washington, DC: 1988

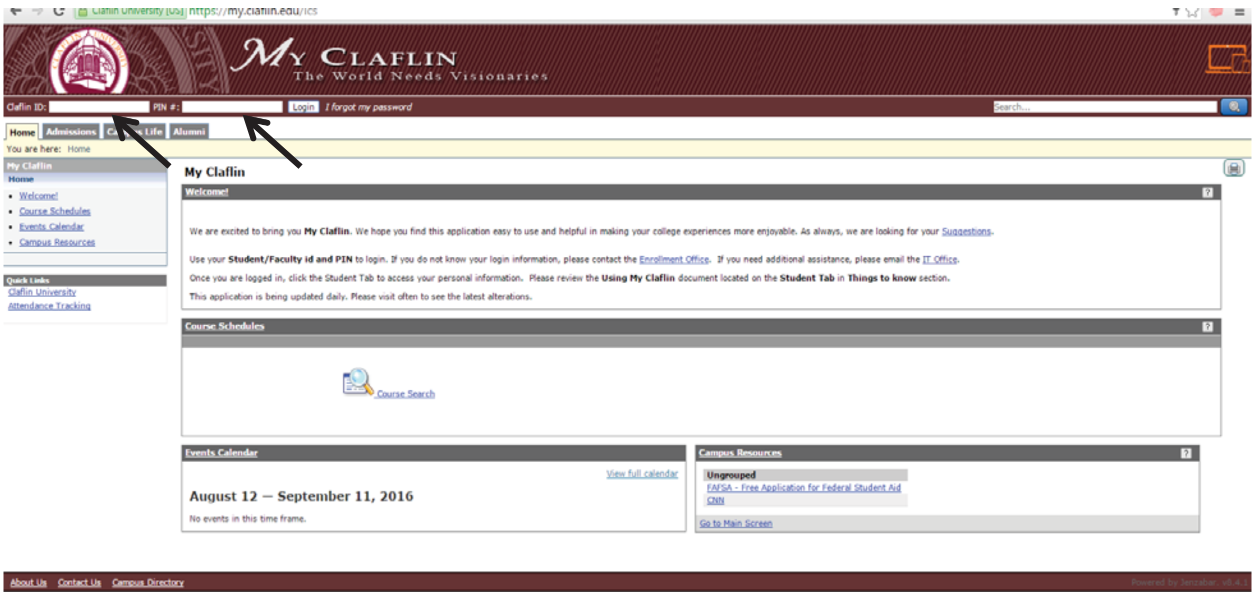
Title 42 Code of Federal Regulations, Part 50, Subpart A – Responsibility of Public Health Services Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science.

Department of Health and Human Services, Office of Research Integrity – Model Policy and Procedures for Responding to Allegations of Scientific Misconduct; http://ori.dhhs.gov/models.htm.

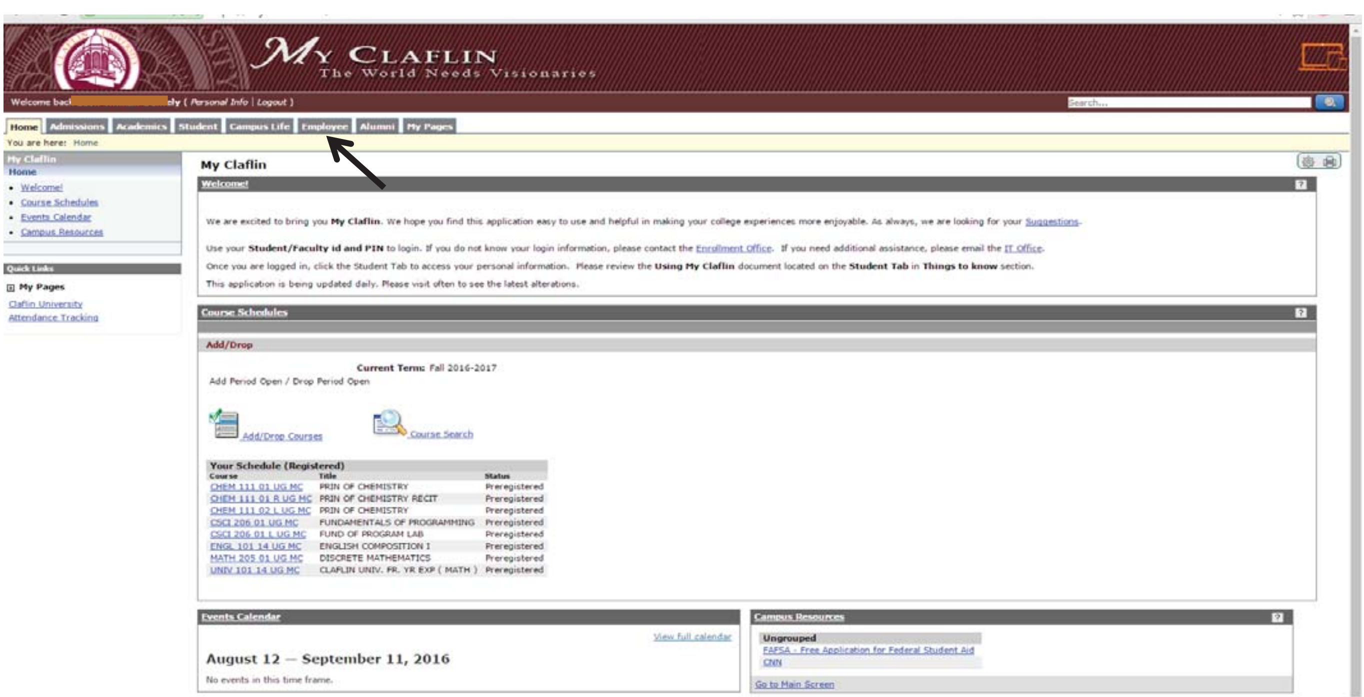
Online Hourly Timesheet Submission Instructions

Steps for Hourly Employees to Submit Timesheets Online

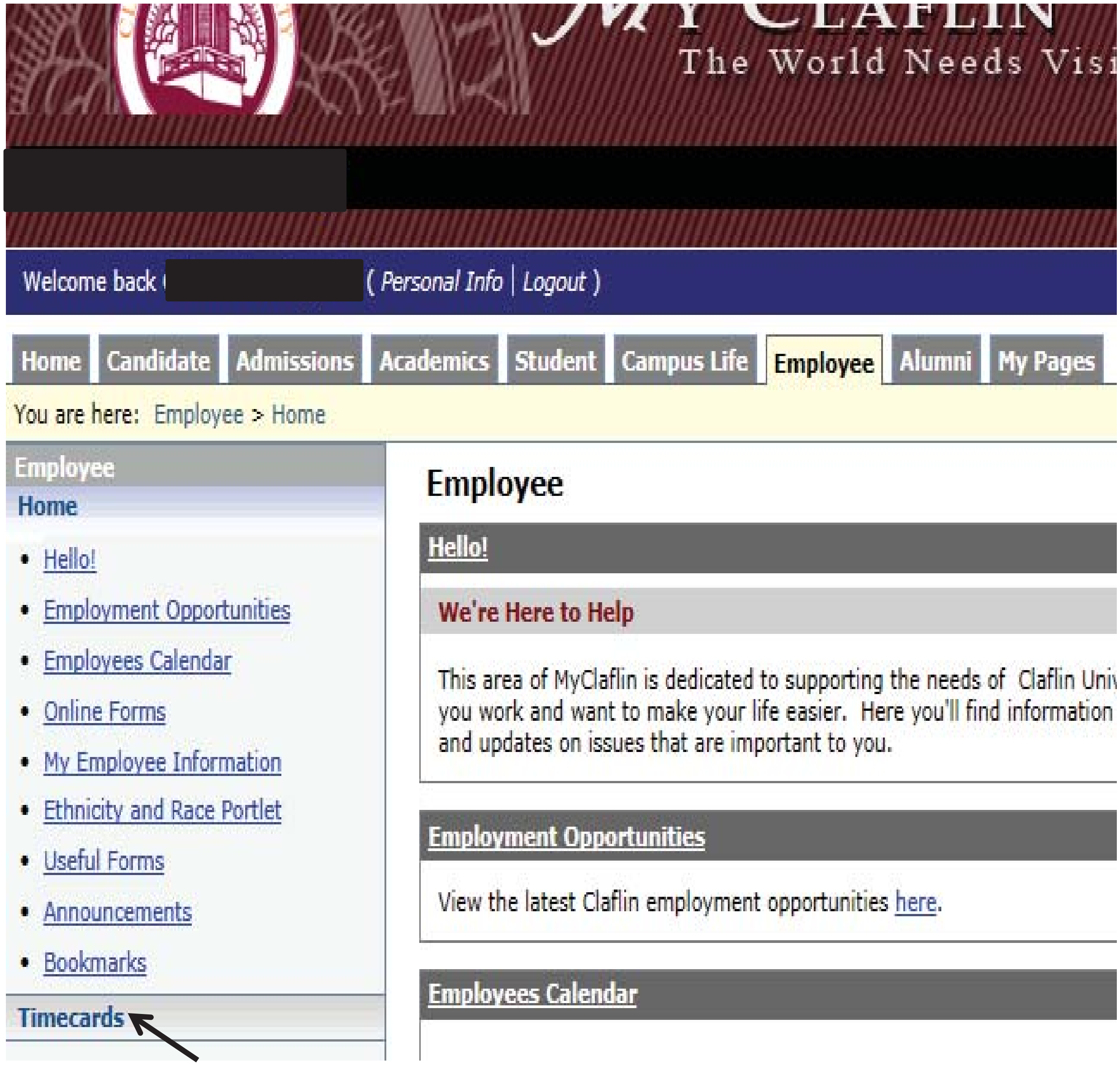
1. Go to www.claflin.edu. From the menu follow the links to MyClaflin.
2. Type in <u>Claflin ID number</u> and <u>pin number</u>. (If you don't remember your pin number, please contact the Enrollment Office at 803-535-5670 or 803-535-5336.



3. Click on "Employee"

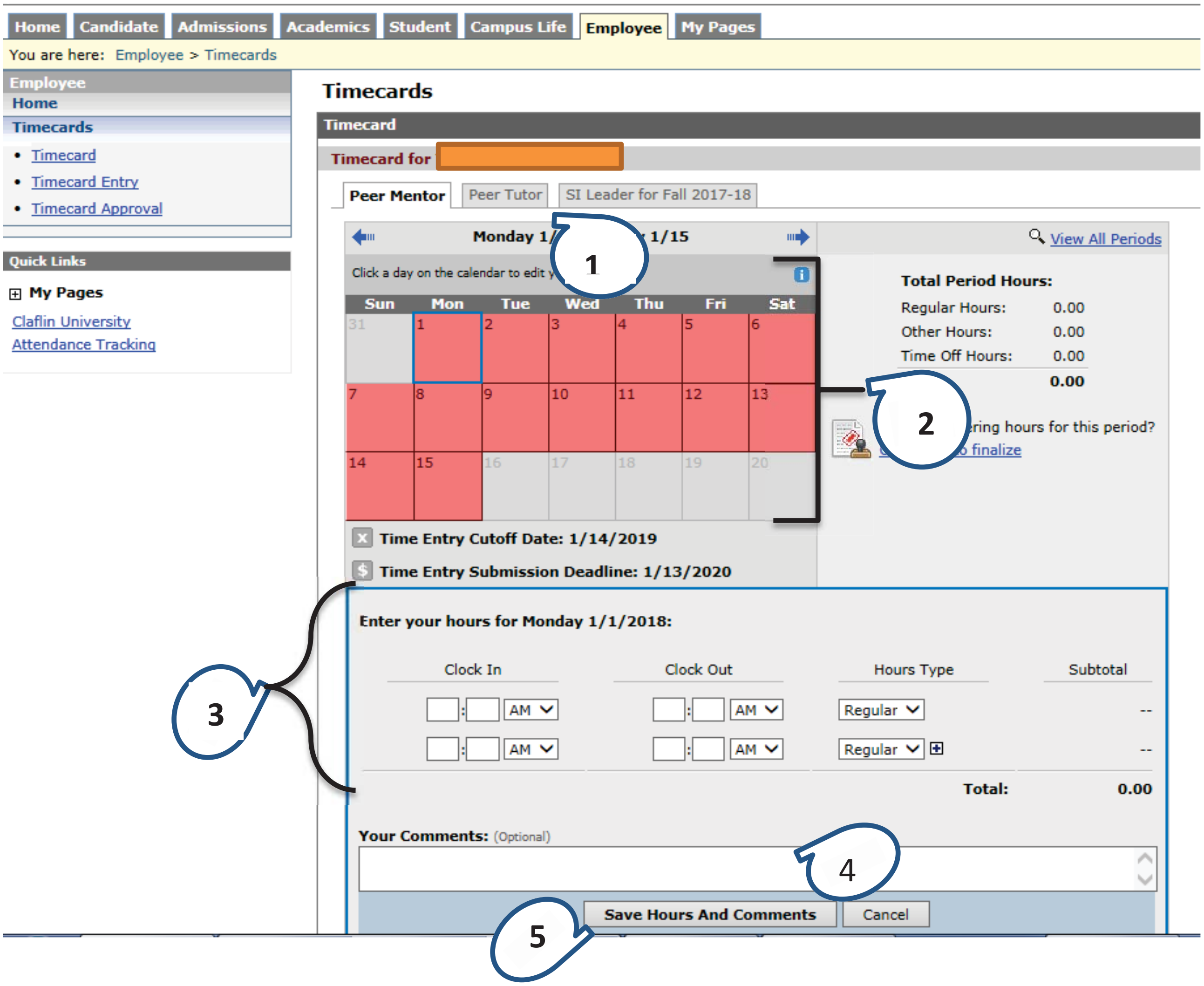


4. Click on “Timecards” (left side of screen).



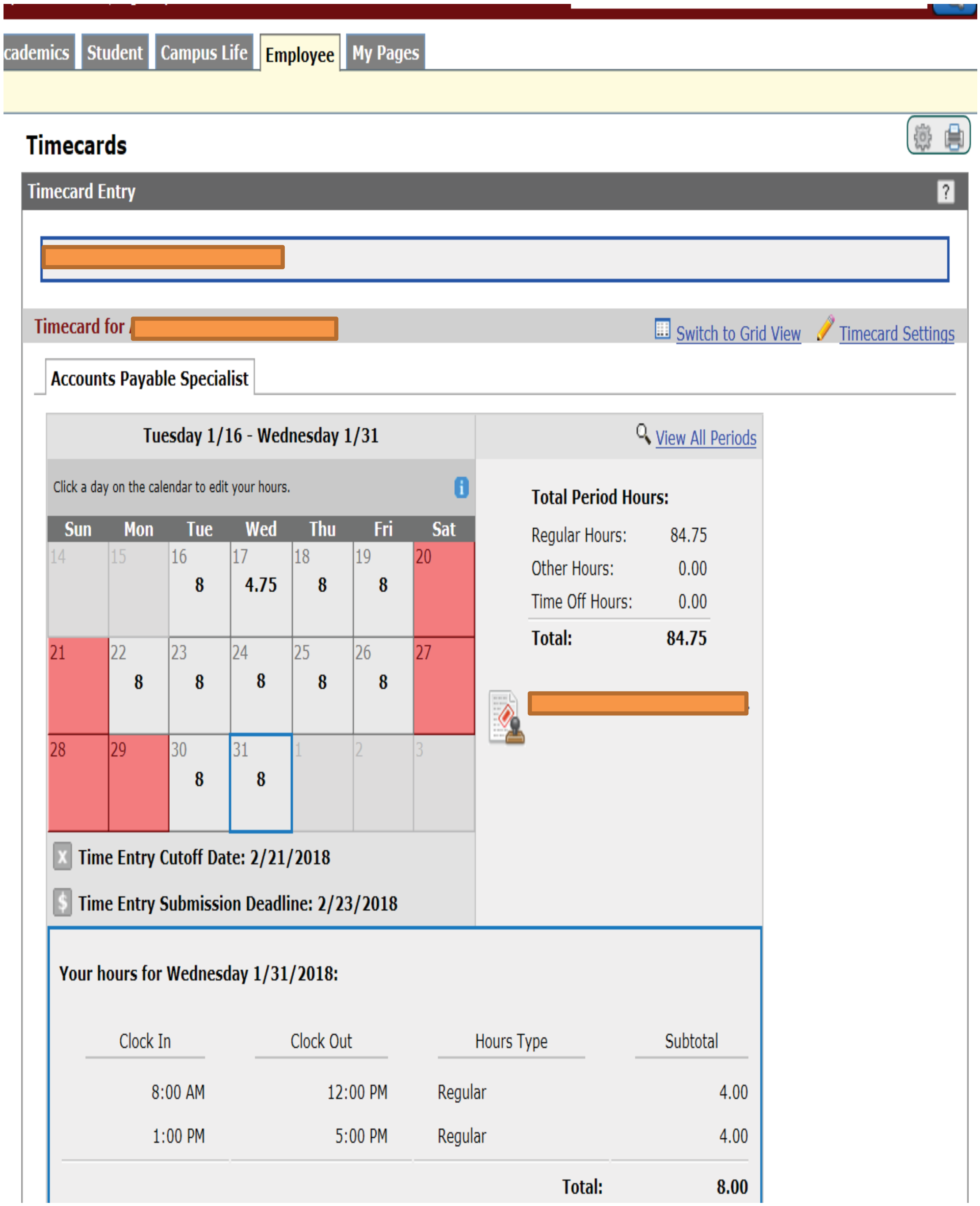
5. Click on "View all pay periods"
   - Select current year to find applicable timecard.
   - Click on applicable Pay Period (end date).

6. Timecard for applicable pay period will open.
    1. If you have more than one job, you will see multiple tabs on your timecard. Click on the specific tab to record hours worked in each applicable department.
    2. To enter hours worked, click on the day, from the top part on the timesheet.
    3. Enter hours WORKED in the bottom portion of the timesheet.
    4. You can enter comments in the 'Your Comments' section (i.e.: worked over 40 hours, didn't take lunch).
    5. Click "Save Hours & Comments," to record time worked for that day.

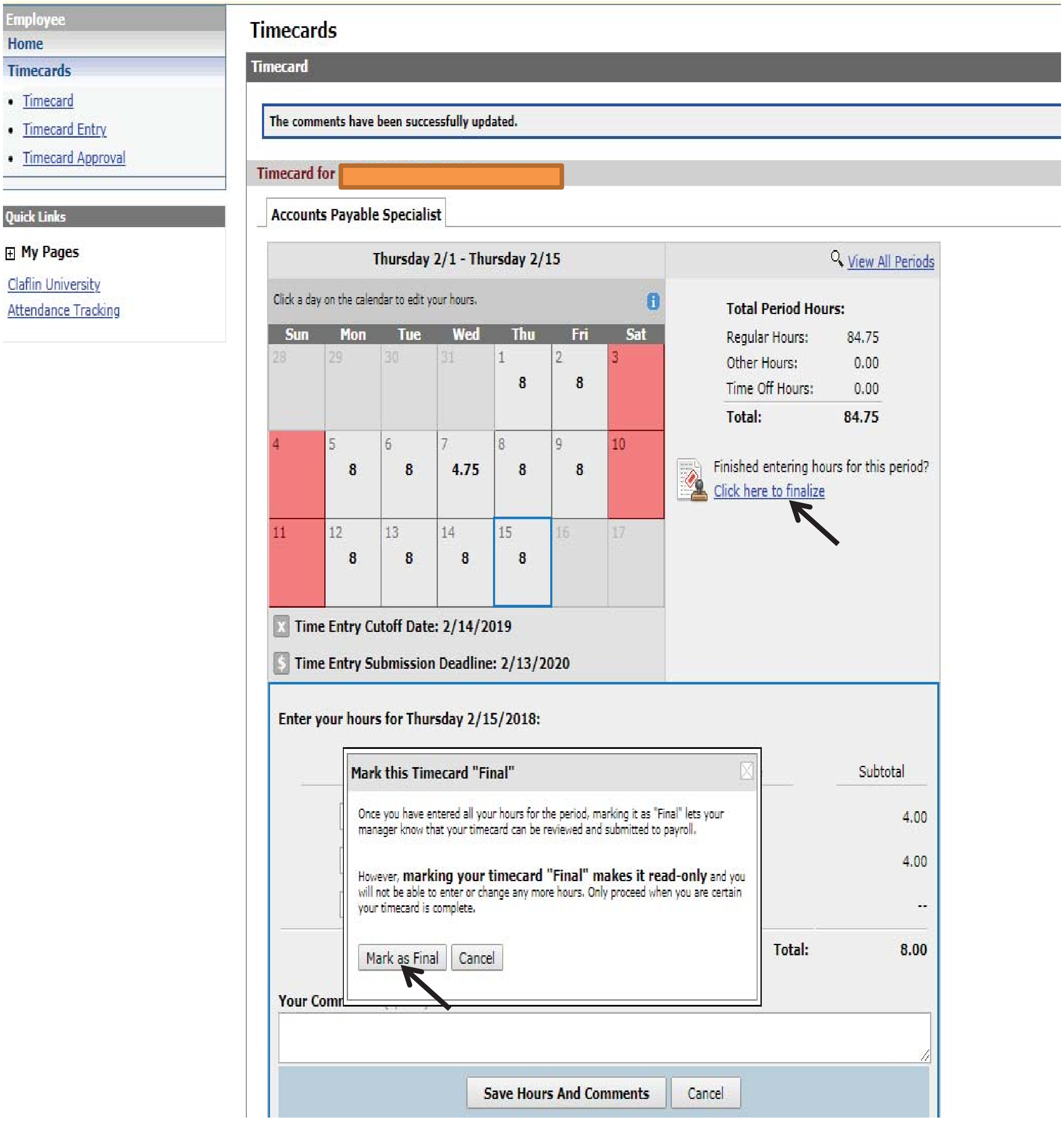


YOU MUST REPEAT STEPS 2-5 FOR EACH DAY WORKED IN THE PAY PERIOD.

7. EXAMPLE: Completed Hourly Timesheet

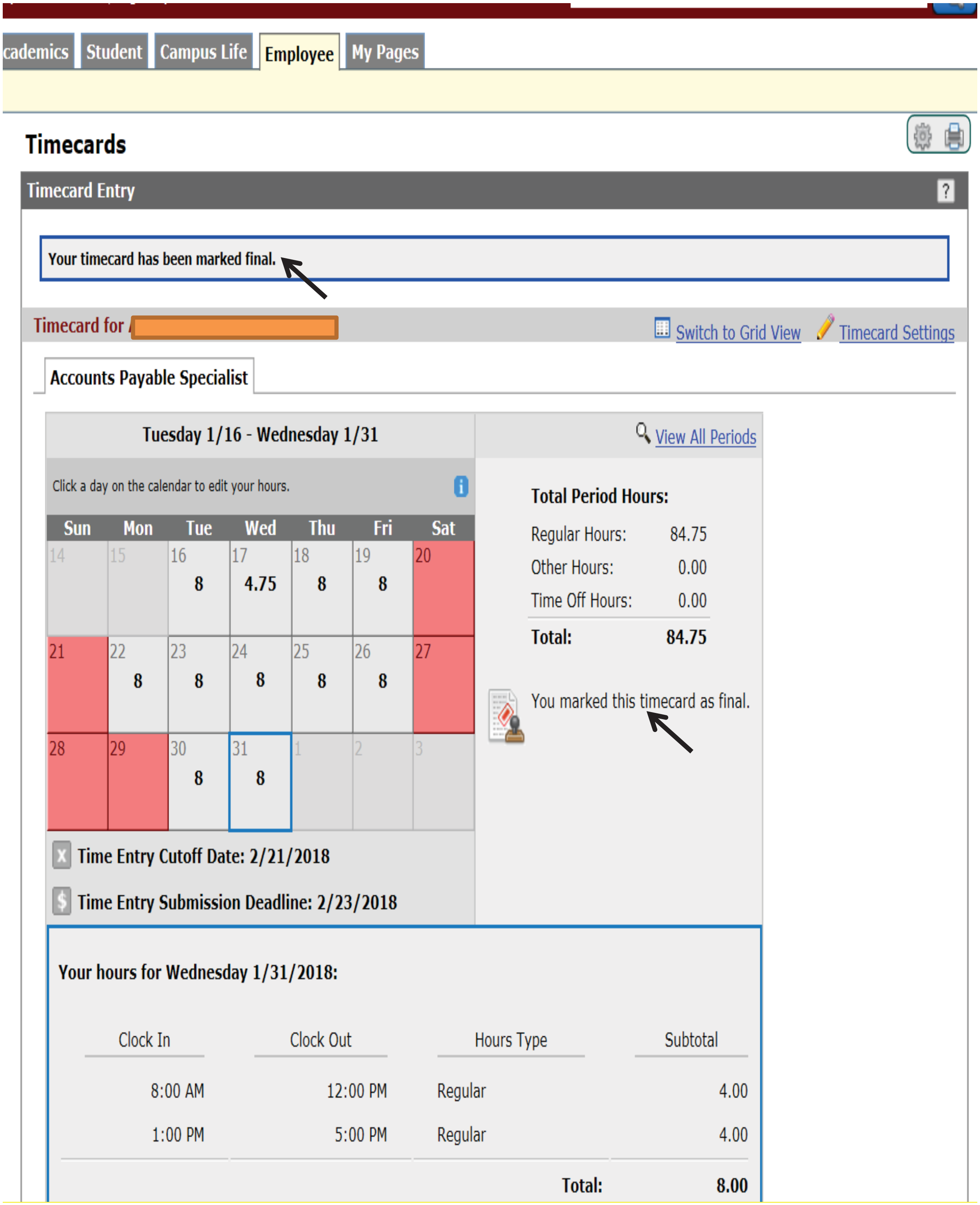


8. Once ALL work hours are entered for the pay period, click on "CLICK HERE TO FINALIZE." To submit your timesheet to your supervisor click "MARK AS FINAL."



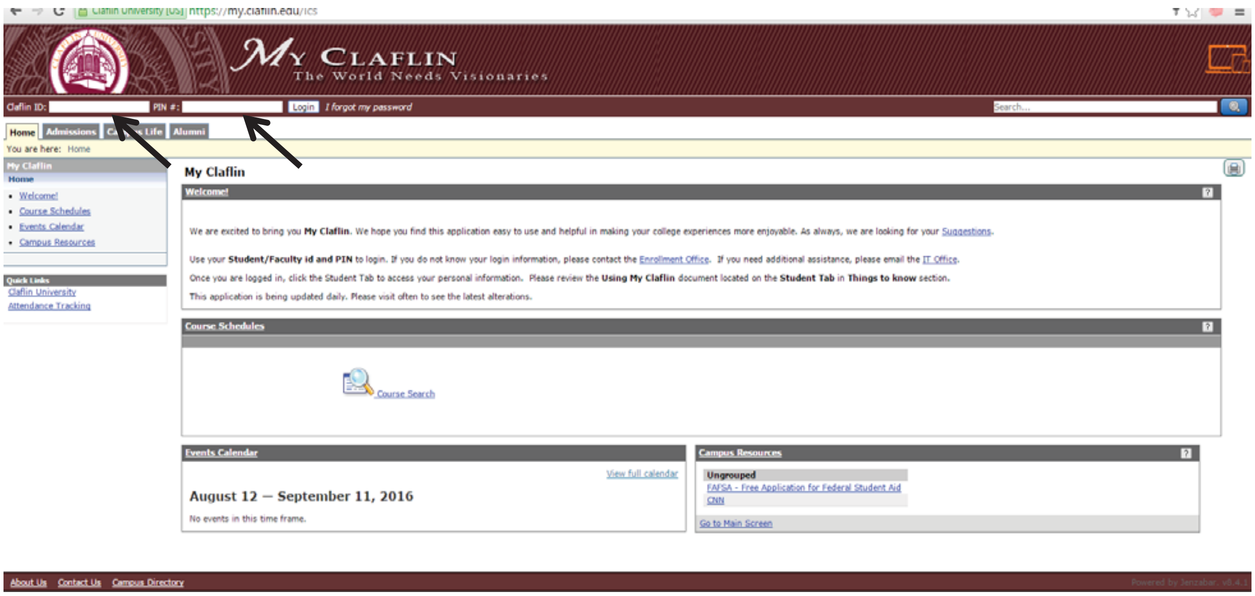
IF YOU NEED TO MAKE ANY CORRECTIONS AFTER SUBMITTING YOUR TIMECARD, PLEASE CONTACT YOUR SUPERVISOR.

9. Two messages will indicate that the Timecard is Final (submitted to supervisor).

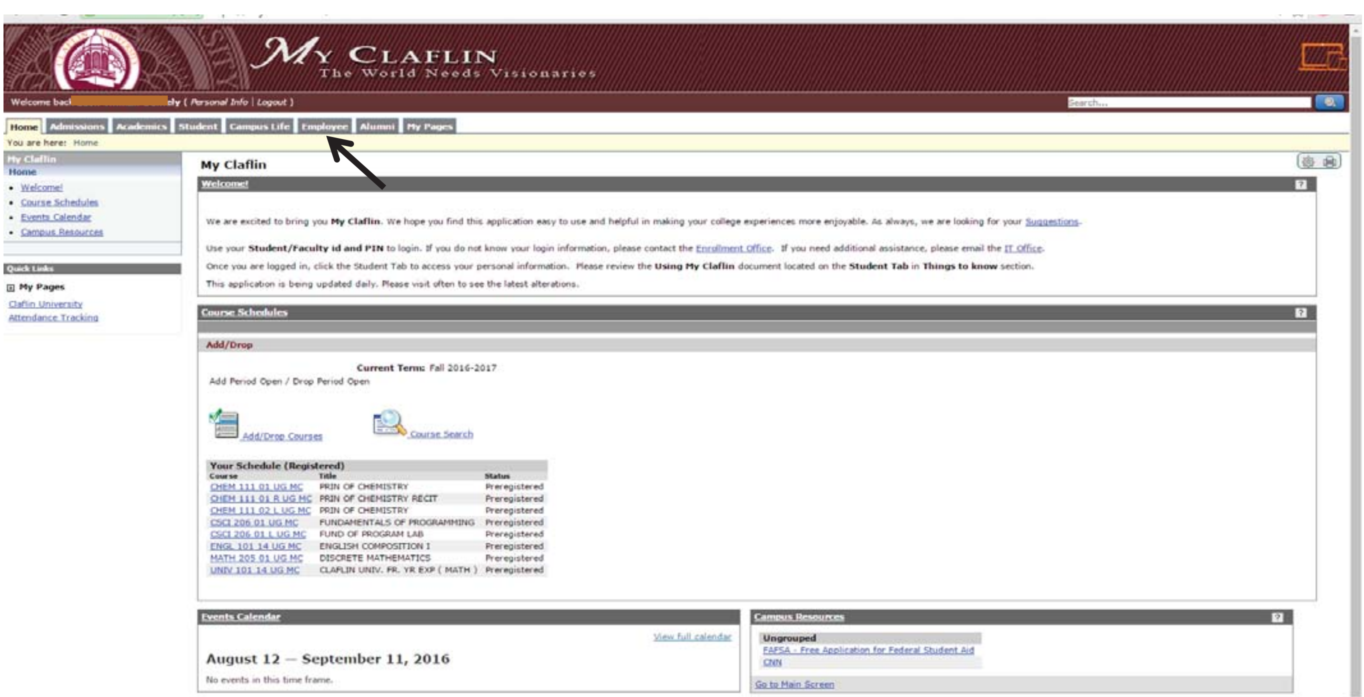


Steps for Supervisors Approval of Employees' Online Timesheets

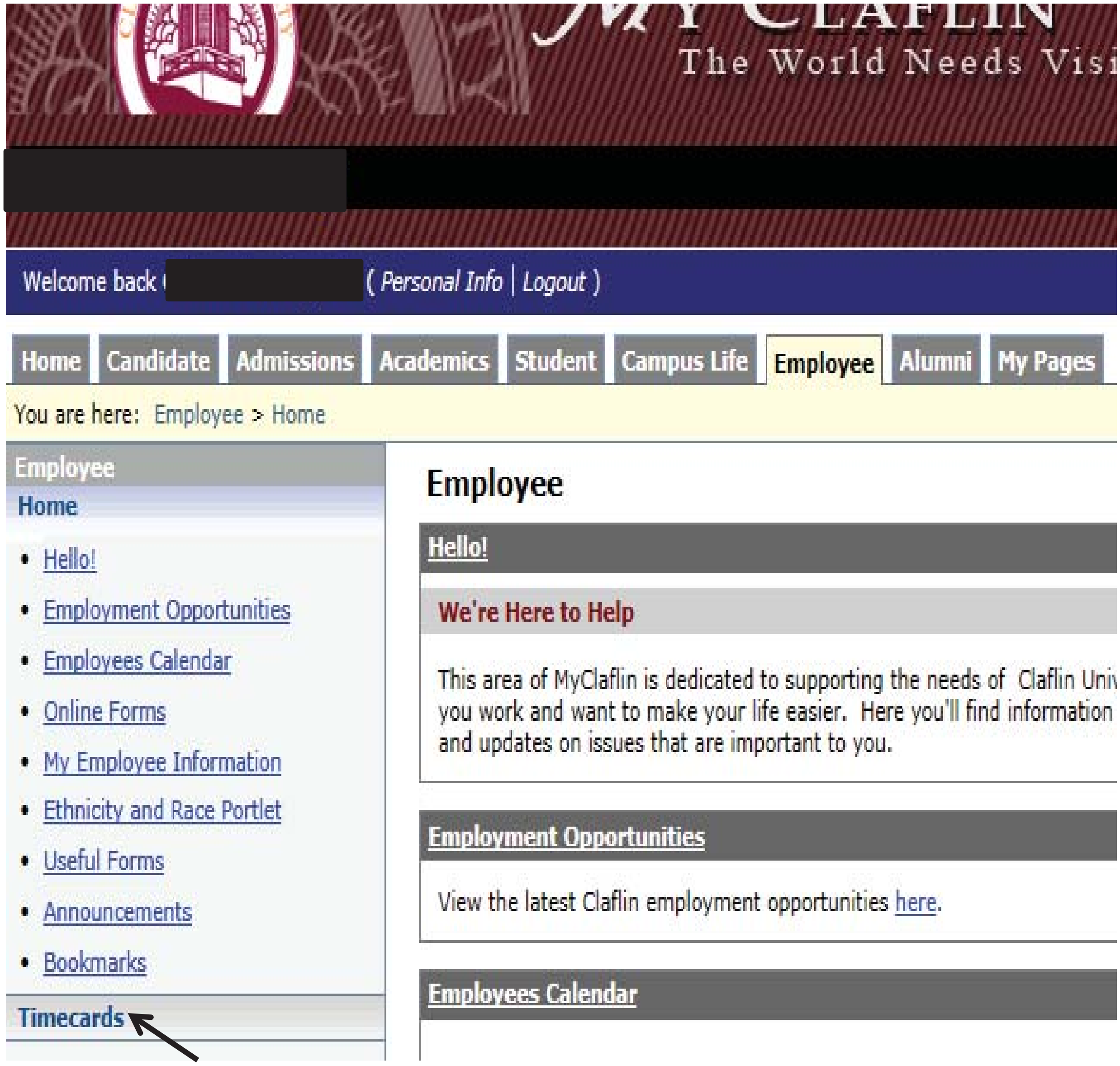
1. Go to www.claflin.edu. From the menu follow the links to MyClaflin.
2. Type in <u>Claflin ID number</u> and <u>pin number</u>. (If you don't remember your pin number, please contact the Enrollment Office at 803-535-5670 or 803-535-5336.



3. Click on "Employee"

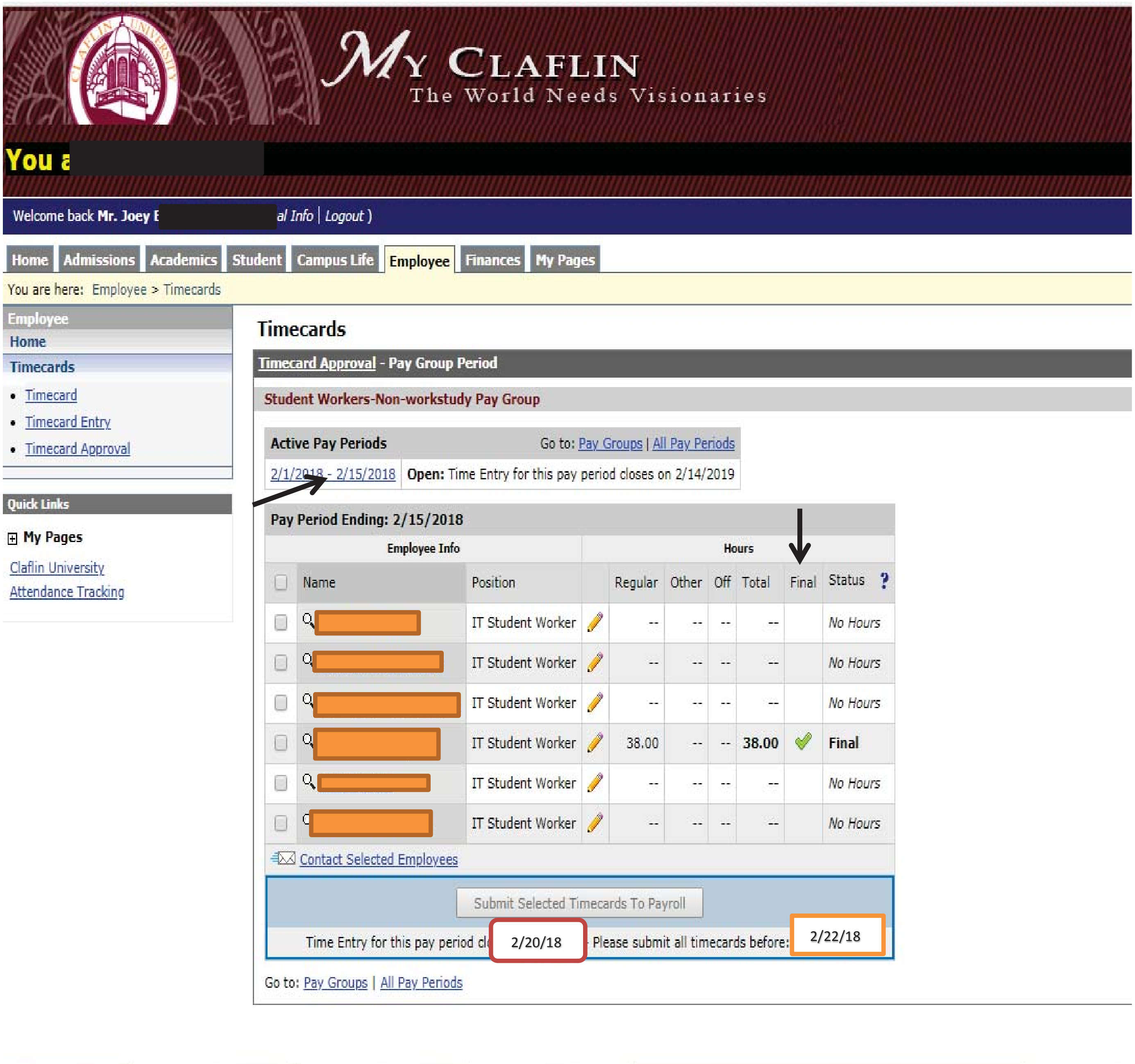


4. Click on "Timecards" (left side of screen).



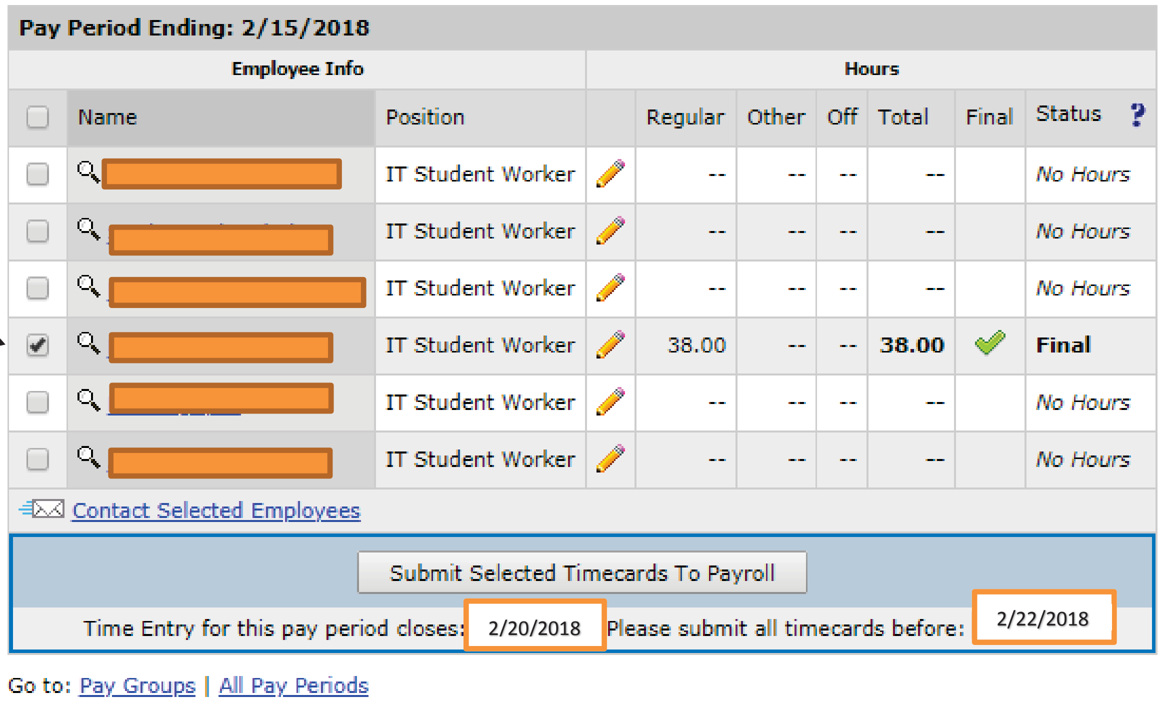
5. Click on "TIMECARD APPROVAL"
    - Select <u>current year</u> to find applicable timecard.
    - Click on applicable "Active Periods for Your Pay Groups."

6. Click on “Active Pay Periods” to see the list of active employees.
   - Timesheets submitted will have a green check mark and a status of Final.



SUPERVISOR SHOULD “DOUBLE CHECK” WITH EMLOYEES OF “NO HOURS” STATUS.

7. Click on employee name with Green Check (Final Status) to review Timecard.


Pay Period Ending: 2/15/2018

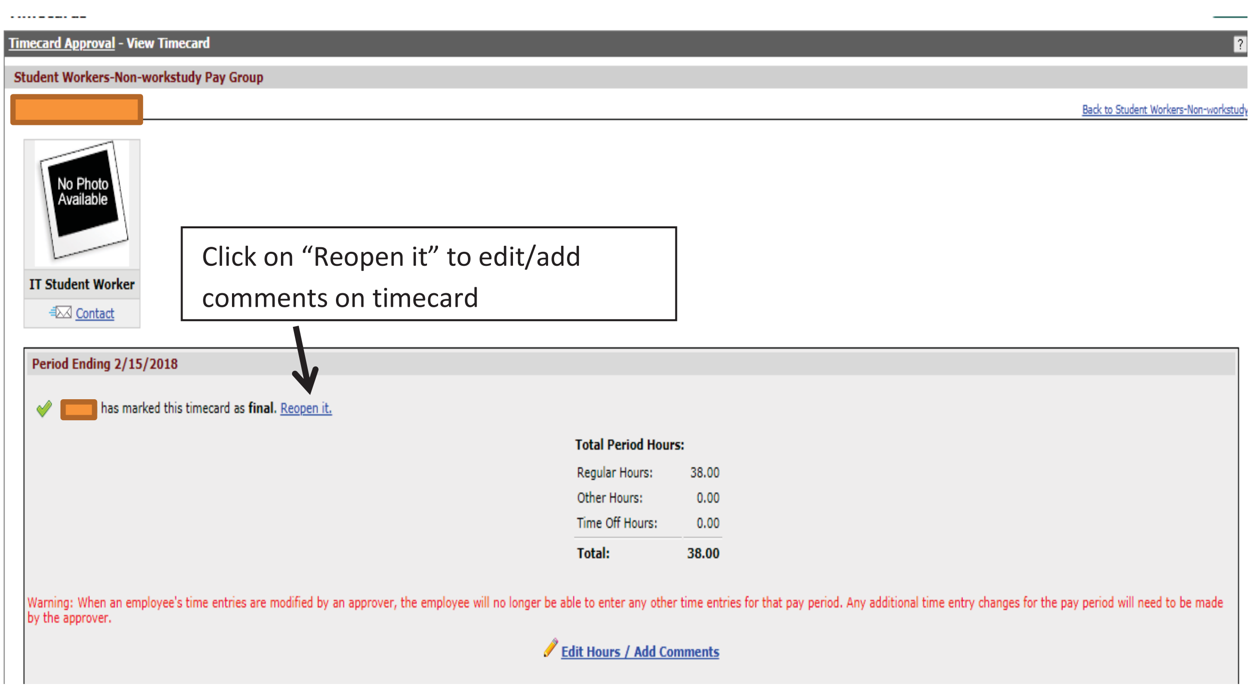
Employee Info				Hours					
	Name	Position		Regular	Other	Off	Total	Final	Status
	[redacted]	IT Student Worker		--	--	--	--		No Hours
	[redacted]	IT Student Worker		--	--	--	--		No Hours
	[redacted]	IT Student Worker		--	--	--	--		No Hours
✔	[redacted]	IT Student Worker		38.00	--	--	38.00	✔	Final
	[redacted]	IT Student Worker		--	--	--	--		No Hours
	[redacted]	IT Student Worker		--	--	--	--		No Hours

Contact Selected Employees

Submit Selected Timecards To Payroll

Time Entry for this pay period closes: 2/20/2018 Please submit all timecards before: 2/22/2018

Go to: Pay Groups | All Pay Periods



PLEASE REVIEW EMPLOYEES HOURS CAREFULLY BEFORE SUBMITTING THE TIMECARDS TO PAYROLL.

PLEASE REVIEW EMPLOYEES HOURS CAREFULLY BEFORE SUBMITTING THE TIMECARDS TO PAYROLL.

[redacted] timecard for this period:

	Clock In	Clock Out	Hours Type	Subtotal
Thu 2/1	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	1:00 PM	Regular	2.00
	2:00 PM	5:00 PM	Regular	3.00
Fri 2/2	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	5:00 PM	Regular	6.00
Sat 2/3	-- --	-- --	--	--
Sun 2/4	-- --	-- --	--	--
Mon 2/5	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	1:00 PM	Regular	2.00
	2:00 PM	3:00 PM	Regular	1.00
	4:00 PM	5:00 PM	Regular	1.00
Tue 2/6	11:00 AM	12:00 PM	Regular	1.00
	2:00 PM	3:00 PM	Regular	1.00
Wed 2/7	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	1:00 PM	Regular	2.00
	2:00 PM	5:00 PM	Regular	3.00
Thu 2/8	-- --	-- --	--	--
Fri 2/9	-- --	-- --	--	--
Sat 2/10	-- --	-- --	--	--
Sun 2/11	-- --	-- --	--	--
Mon 2/12	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	5:00 PM	Regular	6.00
Tue 2/13	-- --	-- --	--	--
Wed 2/14	9:00 AM	10:00 AM	Regular	1.00
	11:00 AM	1:00 PM	Regular	2.00
	2:00 PM	3:00 PM	Regular	1.00
	4:00 PM	5:00 PM	Regular	1.00
Thu 2/15	-- --	-- --	--	--
			Total:	**38.00**

PLEASE REVIEW EMPLOYEES HOURS CAREFULLY BEFORE SUBMITTING THE TIMECARDS TO PAYROLL.

8. Once ALL reviews and/or corrections are made, choose "ALL" or "Applicable Employees" (check box next to their names).
   - Click on "Submit Selected Timecards To Payroll" to finalize online timesheet submission.

Pay Period Ending: 2/15/2018

Employee Info			Hours						
☐	Name	Position		Regular	Other	Off	Total	Final	Status ?
☐	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
☐	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
☐	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
☑	[redacted]	IT Student Worker		38.00	--	--	**38.00**	✔	**Final**
☐	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
☐	[redacted]	IT Student Worker		--	--	--	--		*No Hours*

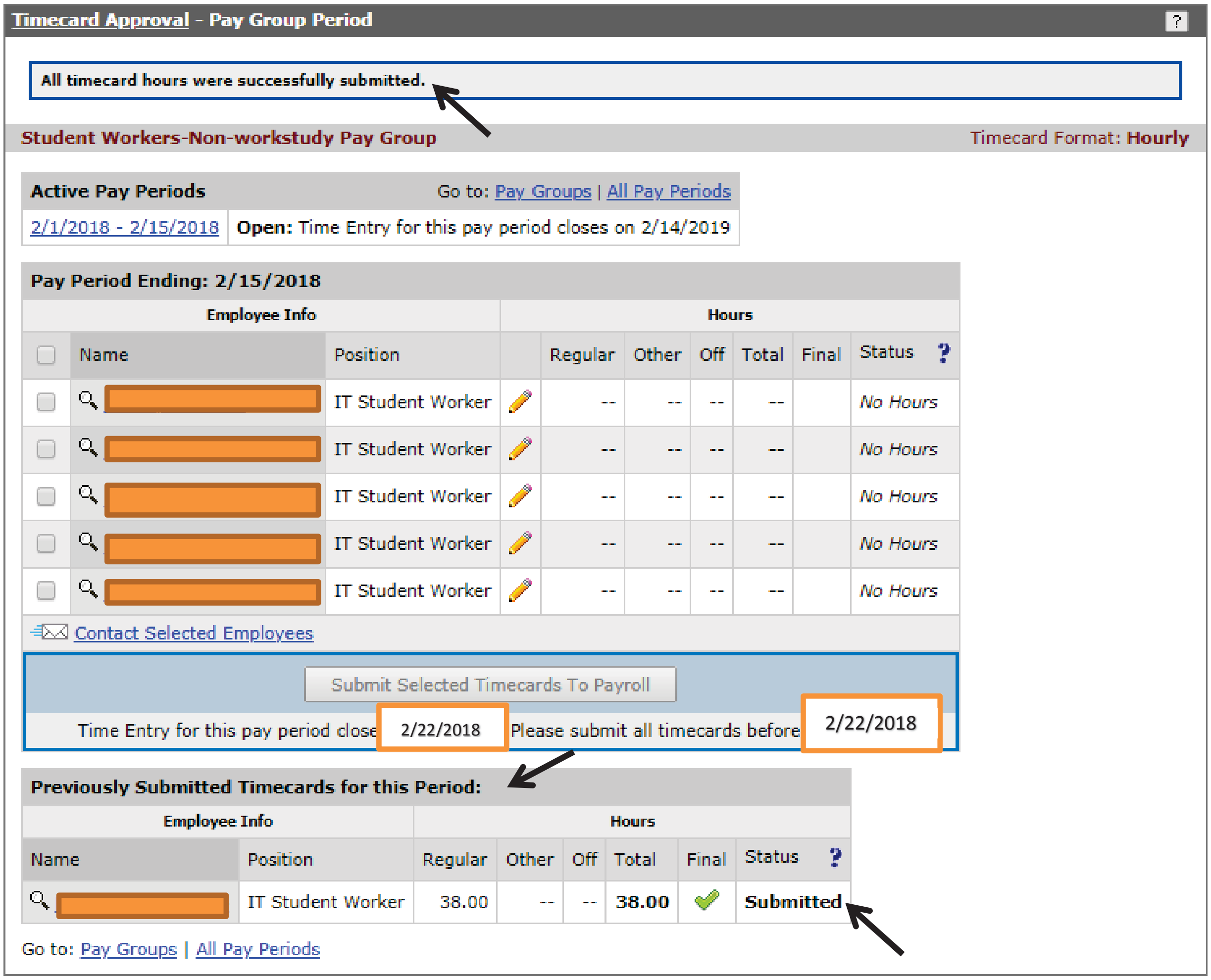
Contact Selected Employees

Submit Selected Timecards To Payroll

Time Entry for this pay period closes 2/20/2018 - Please submit all timecards before: 2/22/2018

Go to: Pay Groups | All Pay Periods

9. You will see the submitted timesheet messages.



Timecard Approval - **Pay Group Period**

All timecard hours were successfully submitted.

Student Workers-Non-workstudy Pay Group Timecard Format: **Hourly**

Active Pay Periods	Go to: Pay Groups | All Pay Periods
2/1/2018 - 2/15/2018	**Open:** Time Entry for this pay period closes on 2/14/2019

Pay Period Ending: 2/15/2018

Employee Info			Hours						
	Name	Position		Regular	Other	Off	Total	Final	Status
	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
	[redacted]	IT Student Worker		--	--	--	--		*No Hours*
	[redacted]	IT Student Worker		--	--	--	--		*No Hours*

Contact Selected Employees

Submit Selected Timecards To Payroll

Time Entry for this pay period close 2/22/2018 Please submit all timecards before 2/22/2018

Previously Submitted Timecards for this Period:

Employee Info		Hours					
Name	Position	Regular	Other	Off	Total	Final	Status
[redacted]	IT Student Worker	38.00	--	--	**38.00**	✓	**Submitted**

Go to: Pay Groups | All Pay Periods

University Policy 100.08 – Payment Method: Temporary Employment Agreement or Stipend

Claflin University Policy Announcement

Payment Method: Temporary Employment Agreement or Stipend (Policy #100.08)

Claflin University management recently approved a policy which will govern the method of payment for employees and students. This policy is in accordance with payment methods prescribed by the Internal Revenue Service (IRS).

The policy specifically determines whether an employee or a student payment will be processed by the University's Payroll Office (a Temporary Employment Agreement [TEA]) or by the Accounts Payable Office (a stipend). As you are aware, both of these offices are within the Division of Fiscal Affairs; thus, this policy will be administered by that division.

An individual will be paid through the TEA process for rendering services to the University. Examples of TEA payments include compensation for teaching or for developing a class. To the contrary, a stipend payment will be paid to an individual who does not render a service to the University. Examples include a payment for attending training or for completing a survey. In addition, a payment to a student which is linked to a course grade or the student's overall academic performance will warrant payment by stipend.

Please contact Ms. Trinai White, Associate Vice President of Fiscal Affairs, at trwhite@claflin.edu or Ms. Ashley Schofield, Controller, at aschofield@claflin.edu. The policy is attached for your review.

University Policy 100.08
PAYMENT METHOD: TEMPORARY EMPLOYMENT AGREEMENT or STIPEND

Responsible Administrator: Associate Vice President of Fiscal Affairs
Responsible Office: Office of Fiscal Affairs
Originally Issued: December 2017
Revision Date:
Authority: Office of the President

Policy Statement
It is the policy of Claflin University to establish a method of payment for employees and students which is in compliance with IRS regulations governing such payments. This policy will help to ensure compliance as well as consistent payments to employees and students.

Statement of Purpose
In accordance with federal regulations, this policy establishes guidelines for service and non-service payments at Claflin University.

Applicability
This policy is applicable to employee and student payments.

Definitions/Relevant Explanation
1. TEA – the hiring of faculty, staff, and/or students on a temporary basis as the need arises (see Policy# 200.05).
2. Stipend – A payment which is **not** compensation for services rendered or work performed.
3. Academic Stipend – A payment related to a student's grade or grade point average.

PROCEDURES
It is the responsibility of supervisors to ensure that payments are processed in accordance with this policy. The payment methods along with applicable circumstances follow.

Service Payments, via Payroll (TEA)
This type of payment is relevant to performance of services in which deliverables are prescribed by and provided to the University. An example of a service payment would include pay for teaching an academic course. The following applies to service payments:

- Payment is processed through the University's payroll system during the normal pay cycle.
- Payments are subject to tax withholding.
- An IRS Form W-2 is issued.

Non-Service Payments, via Accounts Payable (Stipend)

This type of payment is made to individuals who do not provide a service. Examples of non-service payments include payments and other one-time monetary awards for attending training sessions, being the subject in a study, and completing a survey; also, awards to high-school students participating in a summer STEM program. Finally, non-service payments also include academic stipends.

Tax Liability

Payments may be subject to taxes due even if an IRS form is not provided. Please consult a tax professional concerning potential tax liability.

University Policy 200.01 – Selection and Hiring

University Policy 200.01
SELECTION AND HIRING

Responsible Administrator: Office of the President
Responsible Office: Office of Human Resources
Originally Issued: August 2006
Revision Date:
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to employ highly qualified applicants who will contribute to the overall success of the University's strategic goals. The selection and hiring process will enable the University to maintain an effective and productive workforce that is critical to its mission and ongoing operations. The candidate who is selected for the position as a result of the recruitment, screening, and interviewing process will be hired to assume the duties and responsibilities of the specified position.

Statement of Purpose

This policy establishes guidelines for an efficient, consistent, and competitive selection and hiring process that promotes equal employment opportunity. The hiring of qualified candidates for all vacant positions is contingent upon the effectiveness of the recruitment, screening, and interviewing processes. It is the intent of the University to employ persons with the knowledge, skills, and abilities to perform the essential functions of the position.

Applicability

This policy is applicable to human resources professionals and hiring supervisors/managers.

PROCEDURES

It is the responsibility of supervisors to request approval to employ personnel when it becomes necessary as a result of a position vacancy due to resignation, retirement, or termination of the last incumbent, or establishment of a new position.

Requesting Approval

Supervisors must receive administrative approval from their appropriate Vice President to initiate the recruitment process. Upon approval, supervisors must contact the Office of Human Resources to discuss pertinent information related to the Career Opportunity Announcement.

The Position Recommendation Form must be completed and approved to certify that there are funds available in the budget to fill the vacant or new position. This form is designed to request approval to initiate the recruitment process.

The Personnel Recommendation Form must be completed and approved before hiring personnel to fill any vacant or new position.

Selection for Employment

To fill positions that have been vacated or new positions that have been created, the University will utilize the recruitment and hiring process. Upon conclusion of the required steps as outlined in these procedures, candidates will be recommended to the President for employment. The President is responsible for approving all hiring recommendations for the University. Employment will be in accordance with policies, procedures, and guidelines developed and distributed by the Office of Human Resources, in conjunction with the President's Office.

Recruitment

All applications received by the deadline date or interviewing date must be included in the pool of candidates to be given consideration for the specific vacant position. All recruited positions are advertised for a minimum of five working days.

The interviewing date will be utilized for certain recruited positions. The job announcement for positions without a deadline date will state that the position will be "open until filled." The University will continue to accept applications until the candidates who have been selected for interviews by the Office of Human Resources are referred to the supervisor for employment interviews or until the interviewing process has concluded.

If the same or similar position becomes vacant within six months or less of the last recruitment date, the position will not be required to be re-advertised and qualified applicants may be selected from the initial pool of candidates.

NOTE: Due to time constraints and the need to secure short-term assistance, the recruitment process outlined above may not always be utilized for temporary assignments. For more information, see University Policy No. 200.05: Policy on Temporary Employment.

Screening of Applications

All of the applications received by the deadline date or interviewing date must be reviewed and screened. To determine which applicants will be selected for the employment interviews, the Office of Human Resources will utilize the

Candidate Screening Form to select the most qualified applicants for staff positions. The Chair or designee of the faculty search committee may utilize the Candidate Screening Form or use an alternate screening method to select the most qualified applicants for faculty positions. The screening criteria will be established based upon the qualifications identified on the Career Opportunity Announcement and will be compared to the applicants' knowledge, skills, and abilities as described on the employment application.

For specialty staff positions, the Office of Human Resources may collaborate with the hiring supervisor or chair of the search committee to provide assistance with the candidate screening process.

Interviewing Process

Interviews are a required step in the selection process. Applicants are interviewed to determine their qualifications for the recruited position. The supervisor or selection panel will develop a set of interview questions in compliance with Equal Employment Opportunity (EEO) standards. Emphasis is placed on the applicants' knowledge, skills, abilities, employment history, educational background, working experience, and training as they are related to the particular position recruited to be filled. A selection panel may be used for the interviewing and selection process.

Background Checks

References

- The hiring supervisor, human resources professional, or designee will check the references of the final candidate considered for the position with his or her current and/or former employer.

Criminal History

- The Office of Human Resources will check Criminal History Convictions on candidates selected for employment in key positions as defined by the appropriate Vice President and approved by the President. Positions identified as **SAFETY-SENSITIVE POSITIONS** will require a **FINGERPRINT-BASED CRIMINAL HISTORY** check. For more information, see University Policy No. 200.04: Policy on Background Checks: Criminal Convictions and Credit Checks.

Credit History

- The Office of Human Resources will conduct Credit History Checks on designated positions that have been identified as eligible for a credit check by the appropriate Vice President and approved by the President. For more information, see University Policy No. 200.04: Policy on Background Checks: Criminal Convictions and Credit Checks.

Motor Vehicle Record

- The Office of Human Resources will check the driving record of candidates selected for employment for positions that require the employee to drive a University owned vehicle. The information will be ascertained from the Department of Motor Vehicles to ensure that the applicant has a valid and insurable driver's license.

Domestic Violence Conviction

- Pursuant to United States Code, Title 18, Section 922(g)(9), anyone who has been convicted of a misdemeanor crime of domestic violence may not possess any firearm or ammunition. The University must ensure that information ascertained about applicants' convictions for domestic violence before they are employed in positions require or authorize carrying a firearm.

Other Employment Requirements

Application Process

- Before an applicant is eligible for employment with the University, several records must be reviewed or verified. This information is considered part of the application process and, as with information contained on the application form, if it is later discovered that an applicant falsified any information related to his or her employment, the employee may be terminated.

Employment Contract Letter

- Individuals are employed according to the provisions of the terms and conditions of the applicable University Personnel Policies and Procedures.

- Candidates selected for employment will be provided a contract letter from the President of the University.

- To expedite the hiring process, upon approval from the President's Office, an initial verbal employment offer may be extended to the candidate selected for the position by the Office of Human Resources.

University Policy 200.05 - Temporary Employment

University Policy 200.05
TEMPORARY EMPLOYMENT

Responsible Administrators: Vice President for Administration/Provost
Responsible Office: Office of Human Resources
Originally Issued: May 2005
Revision Date: May 2017
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to hire qualified applicants for all types of employment, including temporary employment.

Statement of Purpose

This policy establishes guidelines for hiring persons to provide assistance to the University on a temporary basis.

Applicability

The policy is applicable to persons hired for temporary assignments. Processes which are specifically applicable to temporary employment are detailed in this policy under the subheading, "Processes Unique to Temporary Employment." In addition, many of the provisions noted in University Policy No. 200.01, Policy on selection and Hiring, the policy governing the general selection and hiring of all employees, are applicable to temporary employees; (for example, the application process and background checks).

Definition

Temporary Employment – the hiring of faculty and/or staff on a temporary basis as the need arises.

PROCEDURES

Supervisors should obtain approval from their area Provost /Vice President to hire a temporary employee**.** Beginning in July 2012, the Temporary Employment Agreement (TEA) form, the tool used to create a temporary employment agreement, became available for completion online. The process begins with creation of a new temporary employment assignment by a designated person and continues as follows: a background check and confirmation of funds for the temporary assignment; approval or disapproval by appropriate officials to include the Provost or the area Vice President; and approval or disapproval of the assignment by the University President.

The TEA process for a given position should begin a minimum of 15 workdays/3 weeks before the temporary work is scheduled to begin. In addition, it is important to note that the President of Claflin University has final approval for University hiring to

include the hiring of temporary employees. As such, until the President approves the hiring of an individual in a temporary position, that individual is not hired and should not report to work. To that end, hiring and/or other area supervisors who allow individuals to work prior to the President's approval are subject to disciplinary action up to, and including, termination of employment.

PROCESSES UNIQUE TO TEMPORARY EMPLOYMENT

Recruitment

Based on time constraints and the need to secure short-term assistance, the recruitment process set forth in University Policy No. 2001.01: Selection of Hiring may NOT always be utilized for temporary assignments. Rather, the Office of Human Resources and/or the Faculty Search Committees may select qualified candidates for interviews from applications received for prior recruited positions. In addition, exceptional actions such as hiring for summer programs must be approved by the Provost/appropriate Vice President in conjunction with the Office of Human Resources.

Reporting for Work

On the date specified on the TEA form, the temporary employee should report for work to the hiring supervisor or a site designated by the hiring supervisor.

Compensation

1. Teaching faculty and exempt staff employees who are hired on a temporary basis are paid for the contract period and are not required to submit timesheets. If the temporary agreement is not fulfilled, the hiring supervisor should complete a corrected TEA Form which reflects the actual time worked and the appropriate amount of compensation.
2. Staff (non-exempt) employees who work on a temporary basis are paid only for hours worked. Time sheets for non-teaching employees must be completed by the supervisor and submitted to the Payroll Office to generate the paychecks. To ensure the timely payment of employees, it is crucial that supervisors adhere to the

pay schedule from the Payroll Office (generally communicated from that office through e-mail) which outlines dates for the submission of time sheets for payroll.

3. Further, to ensure timely payment for the work performed, temporary employees should complete and provide information requested by the Office of Human Resources.
4. Temporary employees are compensated semi-monthly, respectively on the 3rd and 18th of the month.
5. Federal guidance, to include but not limited to 2 CFR Part 200, generally does not allow pay for grant work above an employee's institutional base salary (IBS) <u>except</u> in four limited circumstances. Claflin University will consider these circumstances in determining the manner that faculty and staff who are employed on a full-time basis and also work on a grant project are paid. The four circumstances include:
    - Incidental activities (i.e. non-routine, nonrecurring expenses, de minimis).
    - Intra-institutional consulting – work across departmental lines or involving a separate or remote operation and in addition to regular responsibilities. In addition, any charges for work **<u>must</u>** be provided for in the grant **<u>or</u>** approved **<u>in writing</u>** by the Federal awarding agency.
    - Extra service pay – related to compensation for additional duties beyond the ordinary such as an extra class. IBS is specifically addressed, stating that the supplementation amount paid is commensurate with the IBS rate and the amount of work performed.
    - Periods outside the academic year (usually the summer period).

<u>Benefits</u>

Temporary employees are not eligible to receive benefits and are not paid for time missed from the University, including holidays and other designated closings.

<u>Separation from the University</u>

1. Unless the authorization for temporary work is extended, the employee will be terminated at the end of the approved period.
2. Employees may be terminated before the completion of a temporary assignment for the following reasons:
    - The employee is found to be incapable of performing the duties of the temporary assignment;
    - The temporary work is no longer needed;
    - Funding is no longer available for the temporary assignment, or
    - The employee has displayed unacceptable standards of conduct.

University Policy 200.11 – Use of Vacation Leave and Sick Leave Under Sponsored Programs

University Policy 200.11:
USE OF VACATION LEAVE AND SICK LEAVE UNDER SPONSORED PROGRAMS (GRANT FUNDED) POSITIONS

Responsible Administrator: Office of the President
Responsible Office: Office of Human Resources
Originally Issued: July 2006
Revision Date:
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to provide Vacation Leave and Sick Leave to full-time employees and part-time twelve-month salaried employees. These benefits allow employees who are employed in positions under Sponsored Programs to **EARN** and **USE** vacation and sick leave as described in the "Policy on Vacation Leave" and the "Policy on Sick Leave." However, certain restrictions will apply with leave carryover and payment. Employees who are employed in positions under sponsored programs **WILL NOT BE PAID** for their vacation leave balance when they separate from the University. Employees must use their accumulated vacation leave annually and such leave will not carry over from one grant year to the next.

Statement of Purpose

This policy establishes guidelines for the administration of its Sponsored Programs in compliance with applicable federal and state laws, guidelines and regulations. All positions that are created and funded with monies that are generated by funding agencies must be initiated through and approved by the Sponsored Programs Office. It is the responsibility of the University to ensure that the funds for these positions are restricted to the appropriate funding agency and will not impact the general operating budget of the University.

Applicability

This policy is applicable to all full-time employees, twelve-month contract employees, and part-time twelve month employees who are hired under a grant funded position. Probationary employees are not eligible to earn vacation leave hours.

PROCEDURES

Employees who are hired under sponsored programs are employed in positions that **ARE NOT** funded by the University. Funds to support these positions are received from outside agencies. Administrators and managers, in collaboration with the Sponsored Programs Office, may research avenues to supply the monies or necessities to implement new initiatives, programs, projects, and activities. It is the responsibility of the Sponsored Programs Office to administer and monitor the grants. Supervisors are responsible for encouraging their employees to use their vacation leave each year.

Vacation Leave and Sick Leave Accrual Rate

- All full-time employees earn eight hours (one day) of sick leave per month.
- The rate at which all full-time employees earn vacation leave is contingent upon the years of full-time or salaried service with the University. The vacation leave accrual rate is based on a uniform policy and will be governed in accordance with the "Policy on Vacation Leave."

Using Vacation Leave and Sick Leave

- Employees may use their vacation leave and sick leave as described in the policies on Vacation Leave and Sick Leave.

Carryover of Vacation Leave and Sick Leave

- Sick leave may accumulate from one grant year to the next.
- Vacation leave accumulations must be used annually and will not carry over from one grant year to the next.
- Employees must use all vacation leave prior to the end of the grant or contract and before separating from the University.

No Payment for Vacation Leave or Sick Leave

- Employees will **NOT** be paid for their unused sick leave when they separate from the University due to the expiration of the grant or for personal reasons. Sick leave may only be used for personal illness or for the illness of an immediate family member.

- Employees will **NOT** be paid for their unused vacation leave when they separate from the University due to the expiration of the grant or for personal reasons. (**EXCEPTION:** Project Directors must request permission from the Vice Provost for Research to use funds or obtain funds to compensate an employee for his or her vacation leave if the employee was not permitted to take the vacation leave prior to the expiration of the grant).

University Policy 200.27 – Policy on External Employment

University Policy Number 200.27:

POLICY ON EXTERNAL EMPLOYMENT

Responsible Administrator: Executive Vice President/Vice President for Academic Affairs
Responsible Office: Office of Human Resources/Academic Affairs
Originally Issued: November 3, 2011
Revision Date:
Authority: Office of the President

POLICY STATEMENT

Claflin University does not prohibit full-time employees from engaging in outside employment so long as such employment does not adversely affect the amount of time, energy, and attention devoted to the contracted job duties and responsibilities of Claflin University, and so long as such employment does not create a conflict of interest.

STATEMENT OF PURPOSE

This policy establishes guidelines for external employment.

APPLICABILITY

This policy is applicable to all full-time employees of Claflin University.

DEFINITION

External Employment is additional employment, inclusive of self-employment, for which compensation is paid by an external source while the employee is also under full-time contract with Claflin University. This employment includes teaching, consulting and advisory services, and includes all external employment of any sort.

Employees on a nine-month contract and paid over twelve months may accept outside or secondary employment during the summer months without approval, providing they do not have full-time employment with the University for any part of the summer months. The term "under contract" also includes time on sabbatical, paid leave (inclusive of worker's compensation or short-term disability) or unpaid leave.

PROCEDURES

An external employment form notifies University management that a full-time employee is considering an external employment opportunity. An employee must have the External Employment Request form completed and approved prior to accepting an external position.

RESTRICTIONS

- External employment must not interfere with an employee's full-time university duties and responsibilities, including teaching, community service work and research.
- Employees may not engage in outside employment that:
    - could impair the employee's judgment;
    - actually or potentially results in a conflict of interest; and
    - may require or induce the employee to disclose confidential information.
- External employment will not be considered an excuse for poor job performance, absenteeism, tardiness, leaving early, refusal to travel, refusal to work overtime or flexible hours. Employees are cautioned to consider the demands that additional work activity will create before requesting permission to seek or accept outside employment.
- An employee's work schedule shall not be altered or revised in order to provide time to perform outside employment.
- Employees may not use scientific and office equipment, supplies or space of the University for paid external activities.

If the external employment request for administrators/staff is denied at any stage, it should be submitted to the appropriate Vice President or President/designee with a written statement explaining the reason for denial. The completed approved or denied form for administrators and staff must be returned to the Office of Human Resources for notification.

The Vice President of Academic Affairs will resolve faculty issues. Exceptional actions shall be reviewed by the president/designee. The completed approved or denied form for faculty must be returned to the Division of Academic Affairs for notification.

COMPLIANCE WITH POLICY

This policy shall be governed in accordance with the Conflict of Interest Policy, Termination Policy, Employee Guidelines, and Faculty Handbook.

CLAFLIN UNIVERSITY
External Employment Request Form

Employee name: ____
First Middle Last

Title: ______________________________ **Department:** _________________________________

Extension: ______________ Email Address: ____

I request permission to accept external employment. The proposed employment will not interfere with my assigned duties or compromise the University's interest. In such outside employment, I will act as an individual and not as a representative of Claflin University.

1. Name and address of employing firm, agency or individual:
   ____
   ____
2. Nature of Work: ____
   ____
3. Period of request: ____________________ through ______________________________
4. Hours of work: ____

I have read Policy 200.27: External Employment, and agree to the terms and conditions and will conduct my external employment in accordance with the provisions contained therein.

____ Date ________________________
Employee's signature

Approvals/Denials

____ Supervisor/Date	Approved: Yes ____ No _____
____ Department Head/Date	Approved: Yes ____ No _____
____ Dean/Date	Approved: Yes ____ No ____
____ Vice President/Date	Approved: Yes ____ No _____
____ President or Designee/Date (not required for faculty)	Approved: Yes ___ No _____

Revised: November 3, 2011

University Policy 200:21 – Conflict of Interest

University Policy 200:21
CONFLICT OF INTEREST

Responsible Administrators: Vice President of Administration/Provost
Responsible Office: Office of Human Resources
Originally Issued: August 2006
Revision Date: January 2013
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to promote a work environment of honesty, loyalty, high moral standards, and exemplary work ethics. The University's objective is to foster a professional work and learning environment by educating employees concerning Conflict of Interest and how it affects employment, community relations, and the reputation of the University. This policy will set the guidelines for the recognition and prevention of a conflict of interest.

Statement of Purpose

This policy establishes guidelines to protect the integrity and rights of the University. It recognizes the significance of interactions and supports and encourages employee's participation in research, publications, external organizations, community activities, collaboration with other institutions, and professional and personal endeavors. Employees are expected to perform their duties and conduct business in an appropriate manner, with academic integrity, and in the best interest of the University by demonstrating at all times their commitment to the highest intellectual and ethical standards.

Applicability

This policy is applicable to all administrators, faculty, and staff employees. Adjunct faculty members and hourly employees may be required to complete a Conflict of Interest form.

INTERNAL CONTROLS

Claflin University management has implemented specific and general measures to control perceived and/or actual conflicts of interest. These measures are detailed below.

Procedures

The University prohibits employees from engaging in any conduct that constitutes a conflict of interest. The following actions are considered a conflict of interest and are prohibited:

- ✓ Acceptance of gifts, monetary or non-monetary, favors, gratuities, or rewards for services an employee performs in connection with University employment.

- ✓ Offer or acceptance of any money or valuables in exchange for employment selection, promotion, or special privilege or benefit.

- ✓ Campaigning during working hours for self or someone else.

- ✓ Soliciting an employee to contribute to political purposes.

- ✓ Accepting any work or compensation that could be reasonably construed as a conflict of interest without proper prior approval.

- ✓ Engaging in any practice that is a conflict of interest.

- ✓ Participation in professional activities that constitutes a conflict of interest.

- ✓ Exercising inappropriate administrative authority to influence subordinates or others in such a way that it may adversely affect the University's interest.

Disclosure

Employees will be required to complete a Disclosure Form. The information on the form will ascertain if a conflict of interest exist based upon the employees' activities. Disclosure will not prevent the employee from maintaining the disclosed circumstance if it does not create a conflict of interest. The following information must be disclosed:

- ✓ Any relationship that an employee has with a third party who does business with the University in which the employee receives remuneration.

- ✓ A direct business relationship between the employee and the University Textbooks or other course materials that the employee has authored or coauthored and students are required to use them for classes being taught by the employee, see the University Textbook Approval Policy – 300.03.

- ✓ Any intellectual property (patents, trademarks, licensing agreements, etc.) contractually obligated to the employee or the university in which the employee is the author or owner.

Disclosure Form

Employees are responsible for disclosing their participation in activities, circumstances, and business or financial relationships. Because of the necessity to avoid conflicts of interest and the appearance thereof, this policy requires employees to disclose certain financial data and other requested information. The appropriate personnel (the Provost, appropriate Vice President or designee, and Director of Human Resources) will review the Employee Disclosure Form and make recommendations to the President. Items of concern will be evaluated to determine if they presently constitute a conflict of interest or could potentially create a conflict of interest.

The information included on the form must be accurate. Refusal to complete the Disclosure Form or providing false, misleading, incorrect, or incomplete information is a violation of this policy and employees will be disciplined in accordance with applicable University policies.

EMPLOYEE RESPONSIBILITY

All employees are expected to commit to the highest standards of professionalism. Employees uncertain about any work, committee or organizational assignment, compensation, or other circumstance that could be real or perceived conflicts of interest should refer their questions to the Provost, the appropriate Vice President, or contact the Office of Human Resources for directions.

After initial signing of a disclosure statement by an employee, the employee is responsible for informing the Director of Human Resources of situations which may present a conflict of interest and completing another Disclosure Form which includes those situations. The employee is solely responsible for the disclosure of such situations.

Finally, before an employee pursues or engages in future business or financial activity, it is strongly recommended that the employee discuss the activity with the appropriate supervisor to ensure that the activity does not present a conflict of interest. Engagement in an activity that is found to be a conflict of interest may be grounds for disciplinary action.

UNIVERSITY RESPONSIBILITY

The University reserves the right to apply disciplinary action, including termination, for violation of this policy.

OTHER RELATED POLICY

Nepotism

University Policy 200.15 – Nepotism

University Policy 200.15
NEPOTISM

Responsible Administrator: Office of the President
Responsible Office: Office of Human Resources
Originally Issued: June 2006
Revision Date:
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to maintain a work environment that provides for the fair, just, and equitable treatment of all employees. The University does not permit the supervision of an employee by a member of his or her immediate family.

Statement of Purpose

This policy establishes guidelines to ensure equal employment opportunity while maintaining high standards of ethics, integrity and professionalism in its employment and promotional processes. The University prohibits the supervision of an employee by an immediate family member. It is also the policy of the University to maintain an effective and productive workforce by not discriminating against hiring qualified, competent, and suitable family members of current employees.

The term "family member" is defined in these guidelines by the following relationships through blood or marriage:

- Spouse, parent, child, grandparent, grandchild, brother, sister, half-brother, half-sister, uncle, aunt, nephew, niece, step-parent, step-child, brother-in-law, sister-in-law, mother-in-law, son-in-law, daughter-in-law; or

- Any person who resides in the same household as the employee who is a dependent of the employee or of whom the employee is a dependent.

Applicability

This policy is applicable to all administrative, faculty, staff, and hourly positions.

PROCEDURES

The University prohibits the supervision of an employee by a "family member" as described in the above definition. To minimize the risk for a potential conflict of interest situation as it relates to favoritism and partiality, the University shall adhere to the following restrictions:

- A family member will not be employed to work in an area where the newly hired employee will be responsible for the direct supervision of another family member.

- A family member will not be employed to work in an area where the newly hired employee will be under the direct supervision of a family member.

- Should the marital status change or a situation is created after employment which causes one family member to supervise another family member, one of the employees affected will be required to transfer to a different department, separate from the University, or be reassigned to another supervisor. The transfers should be to comparable positions, when possible, and with minimum interruptions for the employee.

- Family members should not have decision-making responsibilities pertaining to the salary, position, promotion, disciplinary action, performance evaluation, benefits, appointments, tenure, or other actions of a family member.

- All exceptions will be reviewed and evaluated on an individual basis and must be justifiably documented. Recommendations for exceptions must be presented to the President by the appropriate Vice President.

University Policy 200.28 – Dual Internal Employment

UNIVERSITY POLICY 200.28
DUAL INTERNAL EMPLOYMENT

Responsible Administrator: Vice President of Administration
Office: Office of Human Resources
Originally issued: December 2012
Revision Date:
Authority: Office of the President

Policy Statement

It is the policy of Claflin University to ensure that employees who work in two (2) or more jobs (a primary and a secondary job or jobs) at Claflin University work the combined contractual hours for the primary and secondary job(s).

Statement of Purpose

This policy establishes guidelines to ensure that employees who work on primary and secondary jobs meet contractual obligations when the work hours of the secondary job are within the standard work schedule of the primary job.

Applicability

This policy is applicable to full-time employees who work a secondary job(s) at Claflin University during their primary work hours. If an employee works on a secondary job(s) during primary work hours, the employee's schedule must be adjusted to account for the combined time for the primary and secondary jobs. Such a case would be an employee who works from 8 a.m. to 5 p.m. Monday through Friday in his/her primary job who receives additional compensation (above base pay) for teaching a course or performing non-primary job functions during the normal work hours.

This policy excludes full-time faculty overload/supplemental pay.

PROCEDURES

Dual internal employment occurs when an employee holds two (2) or more paid positions (primary and secondary) at Claflin University and the work hours of the secondary job are during the standard work schedule of the primary job. This practice is permitted provided the procedures set forth in this policy are followed.

1. An employee may not use his/her lunch hour to compensate for dual employment.
2. An employee who works on a secondary job during the hours worked in a primary position must adjust his/her work schedule to ensure that contractual obligations for the primary and secondary jobs are met.
3. Employees must complete a Dual Internal Employment Work Schedule Form which must be approved and monitored by the immediate supervisor of the primary position. General descriptions such as "I will work evenings and

weekends to make up time" are not acceptable; rather an employee must provide the time of work.

4. Employees who fail to comply with their primary and/or secondary work schedule and responsibilities may be subject to disciplinary action up to and including termination as well as an adjustment to the employee's compensation for noncompliance.

CLAFLIN UNIVERSITY
Dual Internal Employment Work Schedule Form

Employee Name: ____
First Middle Last

Department (Primary Job):____

Title:_____________________________Hours Worked ___________________________

____

Department (Secondary Job):____

Title:_______________________________________Hours Worked ____________________

____

Dual Employment Period of Request:

From________________________________Through____________________________
Month Date Year Month Date Year

Please provide detail on how you will adjust your work schedule to accommodate your primary and secondary jobs.

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I have read and agree to the terms and conditions outlined in Policy Number 200.28, Dual Internal Employment. I will conduct my secondary employment in accordance with the provisions contained therein.

____ Date ___________________________
Employee's Signature

Approvals/Denials

____ Approved: Yes_______No ________
Supervisor/Department Head/Date

____ Approved: Yes_______No ________
Dean/Date

____ Approved: Yes_______No ________
Vice President/Date

Original Form – The Office of Human Resources
Copy – The Immediate Supervisor

December 2012

Visa Allocation Instructions

CLAFLIN UNIVERSITY

CREDIT CARD ALLOCATION TRAINING

Division of Fiscal Affairs 2017-2018

VISA Allocation Instructions

The University continuously reviews the credit card allocation process to ensure that the process is streamlined for both those allocating and those reviewing the monthly allocation reports. In order to remain in compliance, the following steps should be followed.

STEP #1: Review Claflin University's Credit Card Policies and Procedures

- Log on to www.claflin.edu
- Click on "About Claflin"
- Click on "Offices & Services"
- Click on "Fiscal Affairs"
- Click on "Policies and Procedures" (on the far right)
- Click and view Fiscal Affairs Policy 100.01 and 100.04

1. FISCAL AFFAIRS

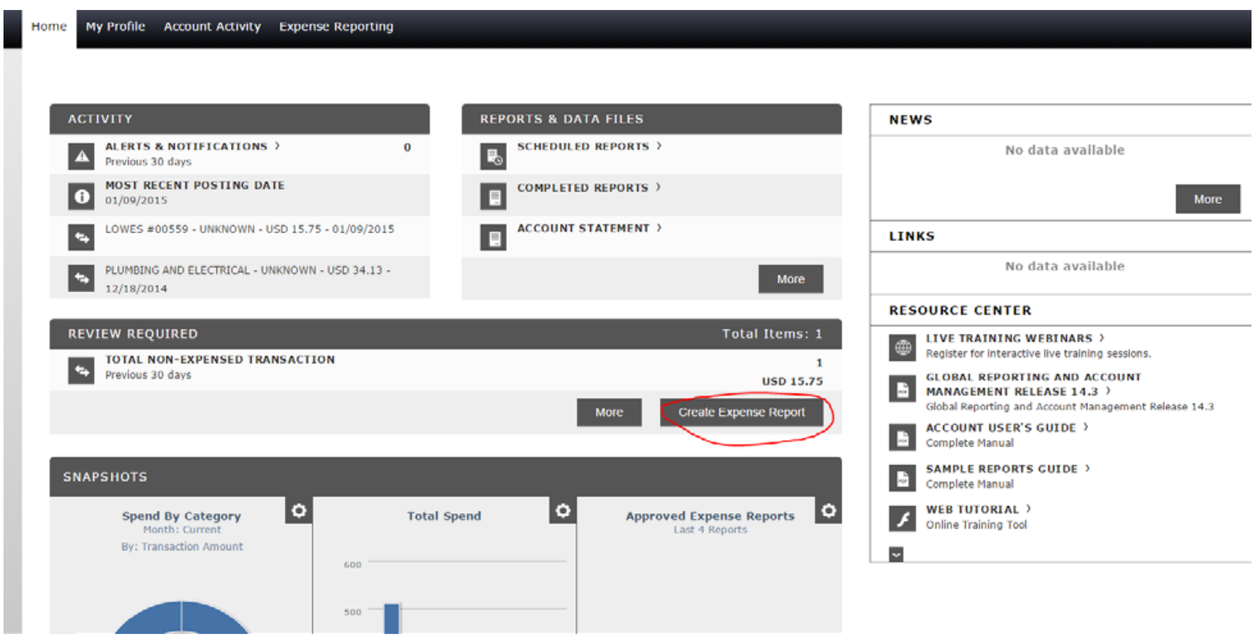
- PDF Policy 100.01 - Travel
- PDF Policy 100.02 - Grants and Contract Administration
- PDF Policy 100.03 - Payroll
- PDF Policy 100.04 - Credit Card
- PDF Policy 100.05 - Stipends for Wireless Communications
- PDF Policy 100.06 - Enrollment Confirmation Fee
- PDF Policy 100.07 Cash Collections Policy for Distribution

STEP #2: Access your personal credit card statement and documentation

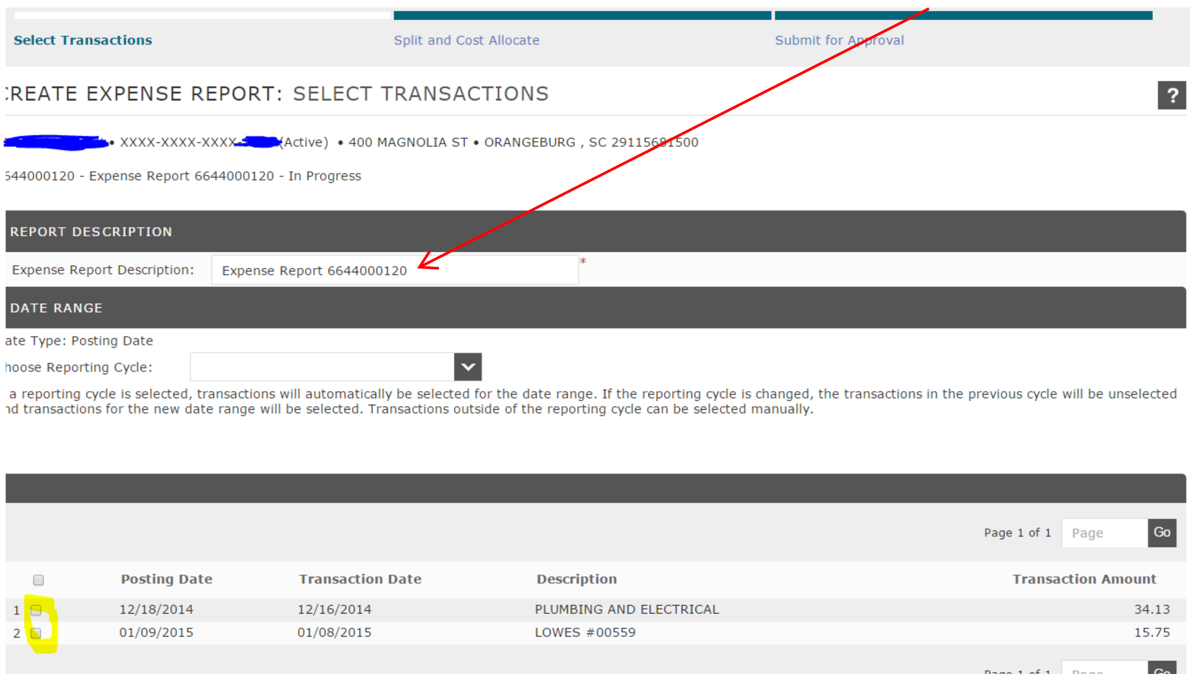
- Print off your bank statement. Your e-statement can be found under Account Activity > Account Statements on the credit card GRAM website portal.
- Ensure that you have **original** supporting documentation for each transaction (i.e. your **original** receipts)
- Please note that statements run from the 11th of the prior month to the 10th of the current month. (ex. January 11, 2017-February 10, 2017).
- You may start your allocation on the 11th of each month.

STEP #3: Create an Expense Report

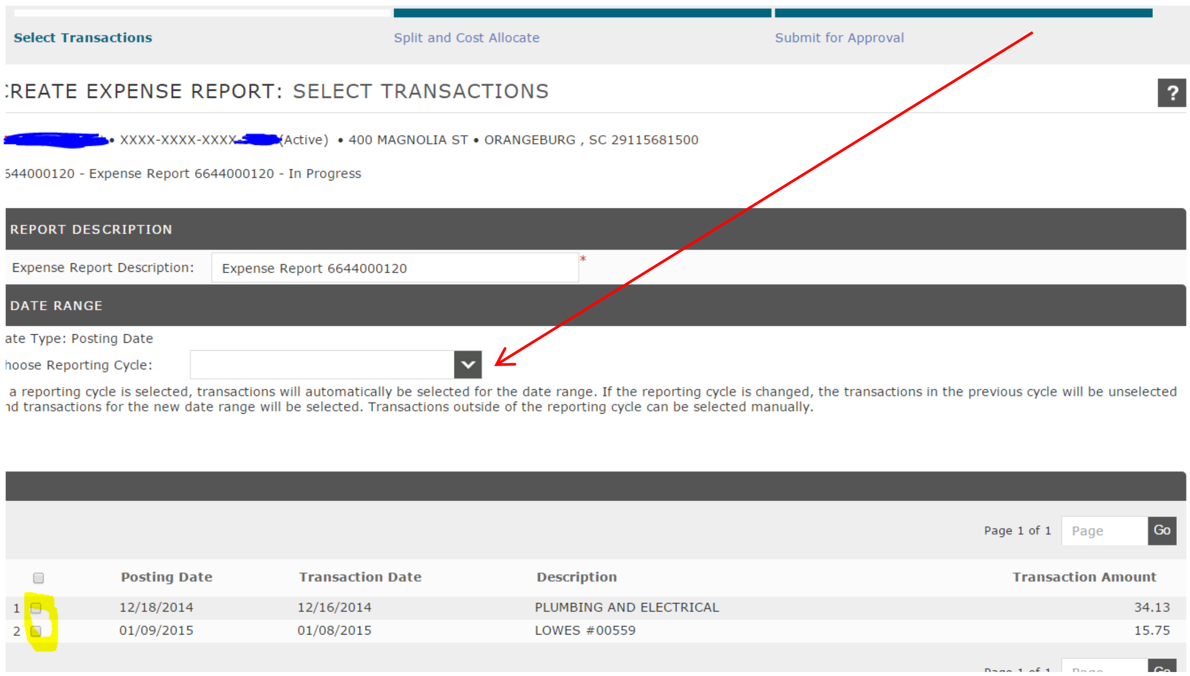
- Log on to https://globalcard.bankofamerica.com/
- Enter your user name and password
- If you are a new card holder, you will need to "Self-Register" using Company Code: 186901. Enter your challenge questions and proceed to the next step.
- From the "Home" screen click "Create Expense Report"



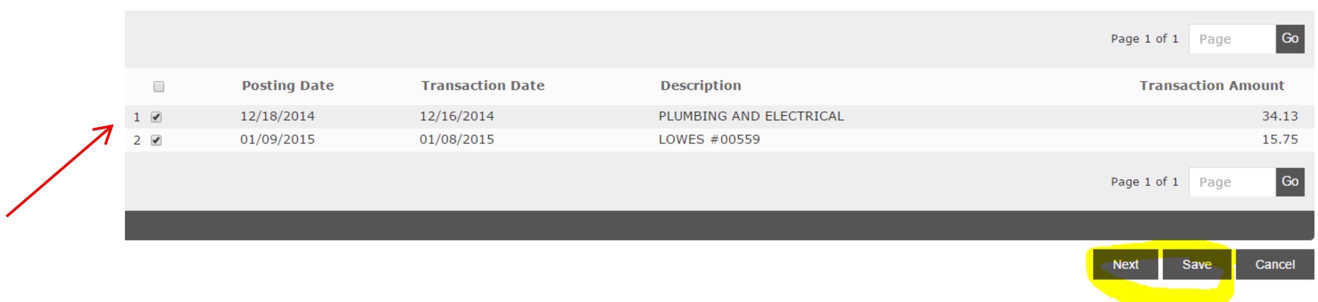
- Enter your “Expense Report Description”. The system will provide a default “Expense Report Description”, however, enter a description that is most meaningful to you (i.e. 2/10/17)



- Select your Date Range: This is the **current billing cycle.** Please note that statements run from the 11th of the prior month to the 10th of the current month. (ex. January 11, 2017-February 10, 2017).



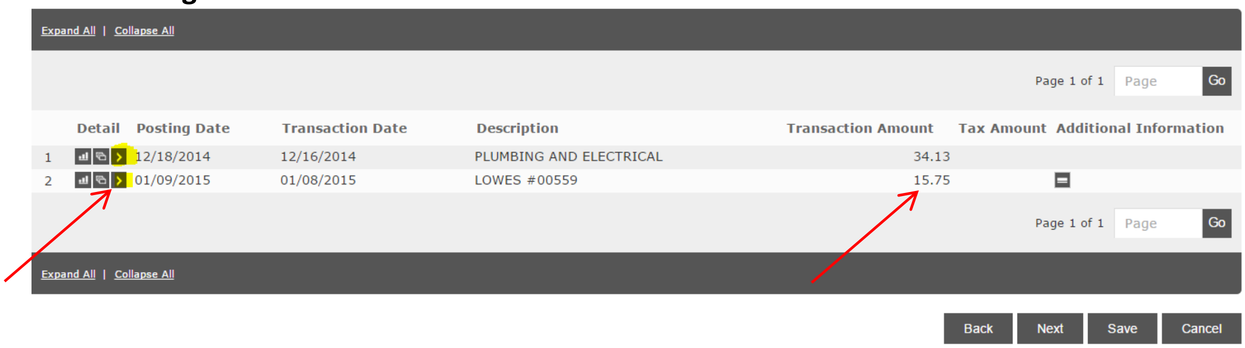
- All transactions for the current month should automatcially select via check mark. (use the transaction **Posted Date**)



- Verify the checked transactions and click **SAVE (always click on Save before Next)**
- Now click Next

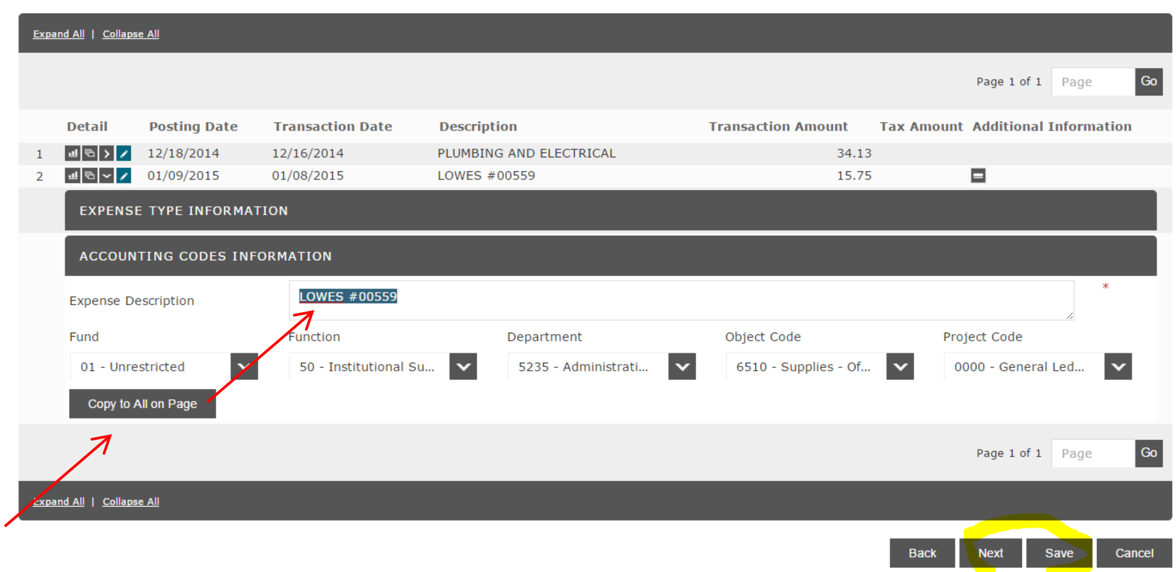
STEP #4: Begin Allocating

- **Click on the greater than arrow for account detail**



- Under “Accountiong Codes Information”, verify your transaction amount (ignore taxes)
- For each transaction, enter your 16 digit account number (double click to select)
- You must enter an account number for each field

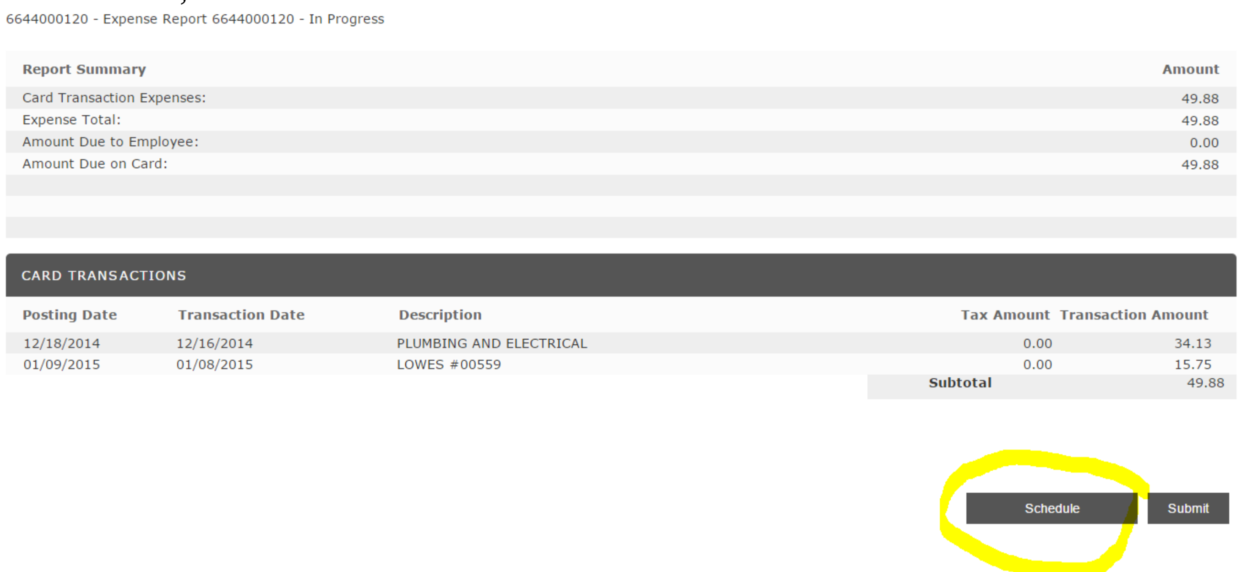
- Enter a decsription



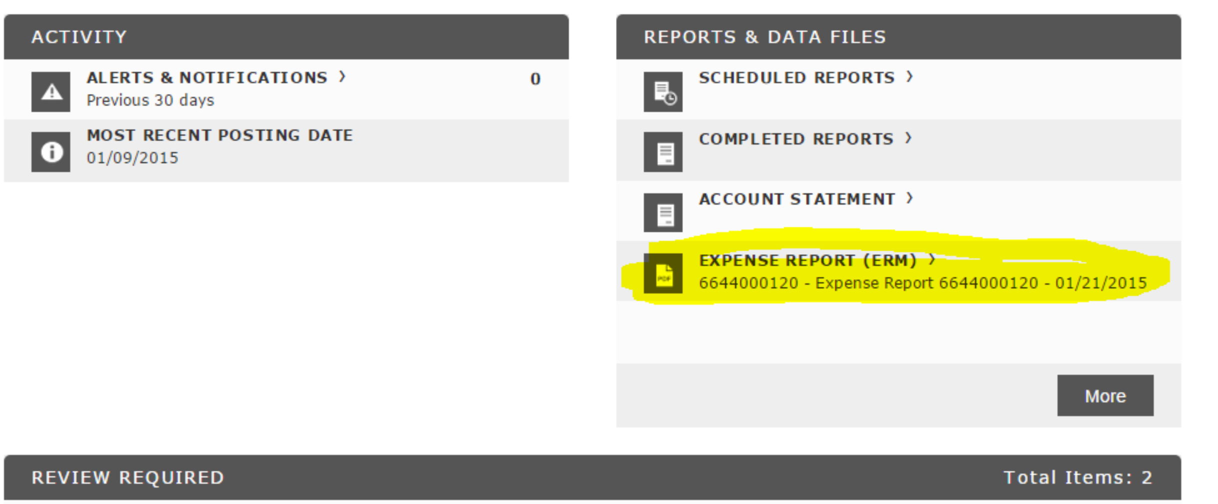
- If you will use this particalr account multiple times click “Copy To All Pages”. (this is optional)
- Click SAVE (for each line and repeat until all items are allocated)
- Then click Next twice to proceed (omit the Milage section of the report)

STEP #5: Scheduling Your Report

- **Select Schedule** to print and review the report. Please ensure the total amount allocated on your expense report ties to the total current period charges reflected on the Visa statement provided by Bank of America.
- Once verified, click "Schedule"



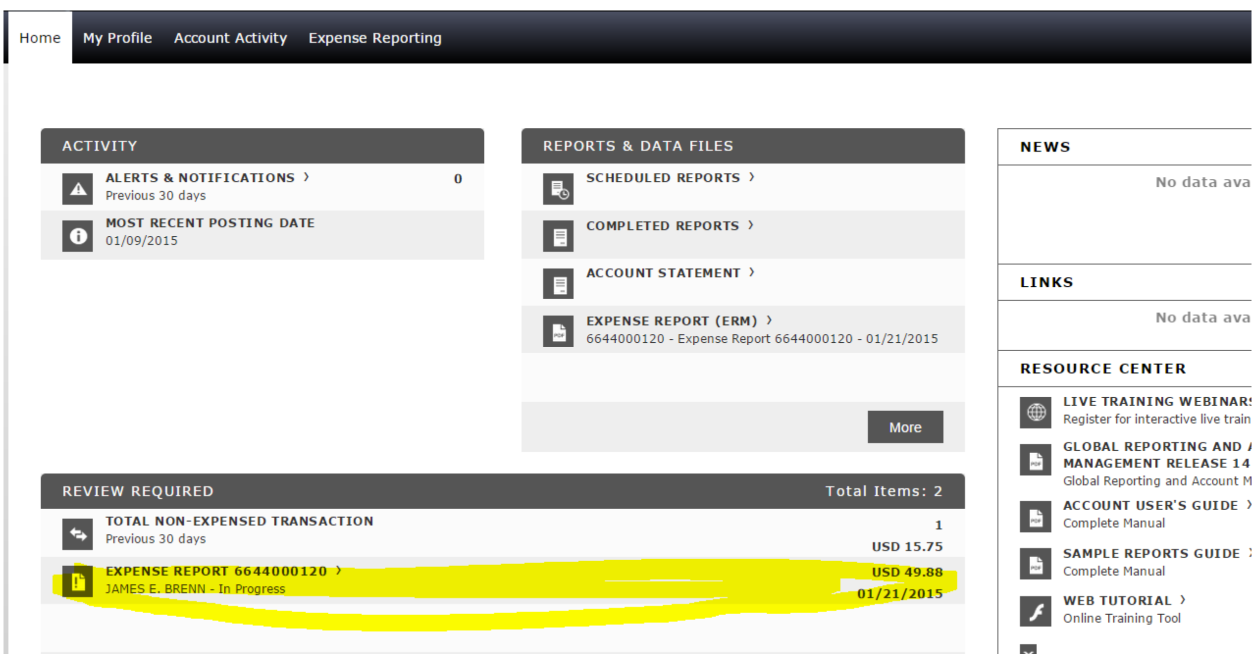
- The Scheduled Report will appear on the Homepage in the Reports and Data Files table. Please allow a few minutes for the report to appear



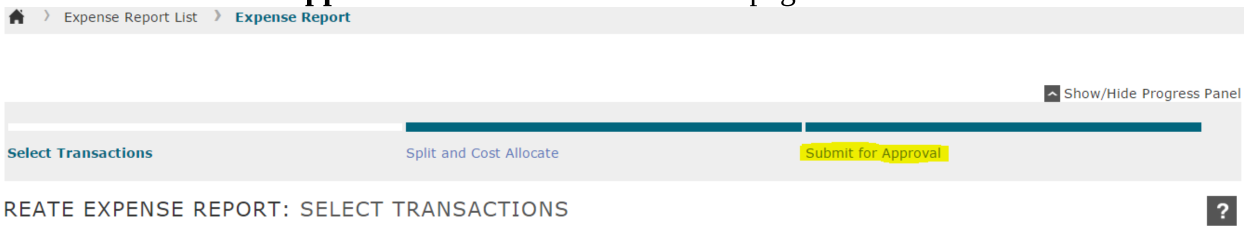
- **Print** the report and **include it in your package** to your supervisor for **review and approve before "submitting".**
- The report package should include the following.
  - The Visa statement (signed by carholder and manager)
  - Expense Report (signed by carholder, manager, and SPO if grant funds are used)
  - Original receipts supporting the charges.
  - If you used your card for grant purposes or if the fund you entered begins with 02, please ensure this package is sent to SPO (Sponsored Programs) for review and approval.
  - IT approval for any IT related purchases (before the purchase is made).
  - Receipt(s), for payment reimbursements, from Cashier's Office (if there are personal charges). You should allocate any charges related to this matter to 01-00-0000-1131-0000.
  - If disputing any charges, state the reason you are disputing a charge.
    - Use the account number 01-00-0000-1119-0000 to allocate the disputed charge(s).
    - Use the account number 01-50-5236-6635-0000 to allocate Visa Rewards Fee.

STEP #6: Submit Your Expense Report Online

- Once the review is completed by your supervisor and SPO, please **submit** your Expense report online: Log back onto https://globalcard.bankofamerica.com/.
- On the Home screen, select you current report by clicking on it



- **Click** on **Submit for Approval** and on the bottom of the page **click Submit**



- If you find that you have made an error **after** the report has been sumbitted, please contact Mr. Johnathan Barnes (x5473).

- Submit your report package to:

  Ms. Louise Keitt
  Tingley Hall
  2^{nd} Floor
  Suite 4

Please note: <u>Due Dates</u>

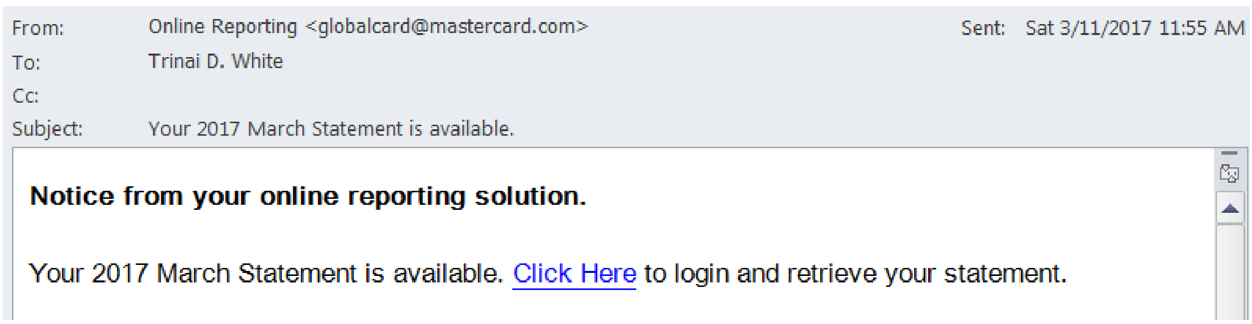
- All packages are due by the close of business on the **<u>24^{th} of each month</u>**. If the 24^{th} falls on the weekend, the report will be due on the next business day.
- ***Individuals who fail to adhere to this deadline will have their card deactivated the following business day and it will not be reactivated until your VISA report package is received by the Office of Fiscal Affairs.***

If you should have any questions, concerns, or difficulties, please contact or e-mail any of the following within Fiscal Affairs.

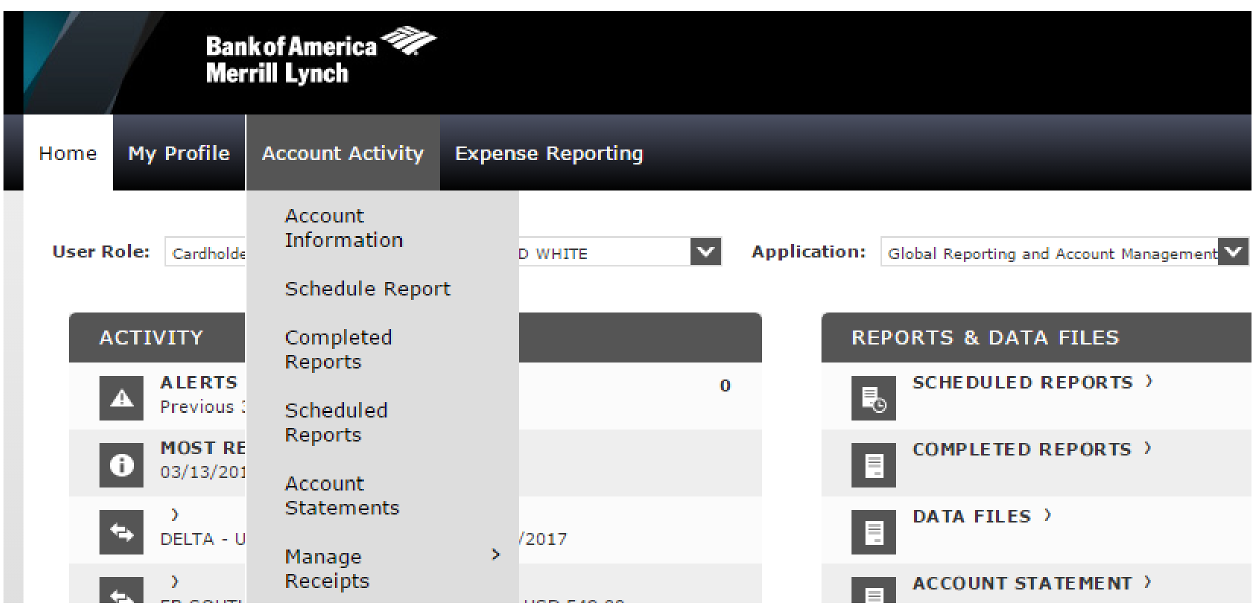
Mr. Johnathan Barnes	(803) 535 -5473	johbarnes@claflin.edu
Ms. Shaneka Hallback	(803) 535 -5413	shallback@claflin.edu
Ms. Ashley Schofield	(803) 535-5264	aschofield@claflin.edu
Ms. Louise Keitt	(803) 535-5409	lokeitt@claflin.edu

Accessing Your E-Statement

On the 11th of each, you will receive an email from BOA's Online Reporting website (GRAM). This email will notify you that your monthly statement is avaliable for you to view as shown below.



Once you have logged into your account, under the "Account Activity" tab, you will click on "Account Statements".



After you’ve clicked on “Account Statements”, GRAM will display each account statements that are available for you to view.

Please print and sign your statement and attach it to your expense report.