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SECTION A: INTRODUCTION AND OVERVIEW

Purpose

This manual aims to assist Shelton State Community College ("College") staff in achieving the objectives and goals approved for Title III (Parts B and F) funding. The policies and procedures herein do not supersede policies and procedures included in the Shelton State Community College Employee Handbook. However, this manual includes specific guidelines that outline the successful implementation of Title III program goals and objectives and delineates staff duties and responsibilities, financial accountability, program reporting and evaluation, documentation processes for accountability, and other areas that support effective management.

Mission of the College

Shelton State Community College is a comprehensive institution committed to providing the community with innovative and accessible learning opportunities to advance academic excellence, cultural enrichment, workforce training, and economic development.

Mission and Purpose of Title III

The mission of the Title III program, as stated in the authorizing legislation (Section 301 (b) of the Higher Education Act), is "to assist such institutions in equalizing education opportunity through a program of Federal assistance." Shelton State Community College, C. A. Fredd Campus participates in the Title III (Parts B and F) program, which awards grants to Historically Black Colleges and Universities (HBCUs). The C. A. Fredd Campus of Shelton State is designated as a HBCU. Therefore, Title III funds the College receives are designed to implement goals and objectives specific to the C.A. Fredd Campus. The goals of Title III (Part B) are set forth as follows:

- To establish or strengthen the physical plants, financial management, academic resources, and endowments of HBCUs and Historically Black Graduate Institutions (HBGIs)
- To enhance HBCU postsecondary institutions as a remedy for prior discriminatory action by the states and federal government
- To decrease these institutions' reliance on financial support from the government and increase their reliance on support from private sources and endowments

The College may use funds to address problems identified in its strategic or comprehensive development plan that threaten its survival. Thus, the law states Title III resources should enable colleges to become "viable, fiscally stable and independent, thriving institutions of higher education."

History of the C. A. Fredd Campus

In 1994, C. A. Fredd State Technical College was consolidated with Shelton State Community College of Tuscaloosa. The new institution created by the consolidation retained the name of Shelton State Community College, and the president of Shelton State, Dr. Tom Umphrey, was named president of the consolidated institution. The Institution is now called Shelton State Community College, C. A. Fredd Campus. The state legislature created the C. A. Fredd Campus in 1963 as Tuscaloosa State Trade School. In 1974, it became Tuscaloosa State Technical College and was authorized by the Alabama State Board of Education (ASBE) to grant the associate degree. In 1976, the College's name was changed to C. A. Fredd State Technical College in honor of the institution's first president. In 1986, the College was recognized as one of the nation's historically black colleges and universities and received initial Title III funding of \$350,000 in 1987 during the presidency of Mr. Norman C. Cephus.

An Overview Of The Title III Program

The Strengthening Historically Black Colleges and Universities (HBCU) Program is governed by the Higher Education Act of 1965 as amended by the U.S. Congress. Federal grants awarded through this program may be used to carry out operational and developmental activities. Each participating institution is expected to develop proposals for funding based on planning priorities outlined in the institution's strategic plans. Conceptually, supplemental funding provides a means to start new programs and enhance or strengthen existing programs and services.

The purpose of Title III financial assistance is to help eligible higher education institutions solve problems that threaten their ability to survive and stabilize their management and fiscal operations to achieve self-sufficiency.

Title III-B, Section 323 Legislative Allowable Activities (LAAs)

1. Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes*
2. Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services*
3. Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty
4. Academic instruction in disciplines in which Black Americans are underrepresented*
5. Purchase of library books, periodicals, and other educational materials, including telecommunications program material*

6. Tutoring, counseling, and student service programs designed to improve academic success
7. Funds management, administrative management, and acquisition of equipment for use in strengthening funds management
8. Joint use of facilities, such as laboratories and libraries
9. Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector
10. Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the state that shall include, as part of such program, preparation for teacher certification*
11. Establishing community outreach programs which will encourage elementary and secondary students to develop academic skills and interest to pursue postsecondary education
12. Establishing or improving an endowment fund
13. Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities
14. Education or financial information designed to improve financial literacy and economic literacy of students or students' families, especially with regard to student indebtedness and student assistance programs under Title IV
15. Services necessary for the implementation of projects or activities that are described in the grant application and that are approved in advance by the Secretary, except that not more than two percent of the grant amount may be used for this purpose
16. Other activities that a grantee proposes in its application that contribute to carrying out the purposes of the Title III legislation and are approved by the Secretary as part of the review and acceptance of the grant application

*In addition to LAAs 1, 2, 4, 5, and 10, FUTURE funds may also be utilized for the following:

Other activities, consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

Federal assistance under these programs may not be used to cover any general operating and maintenance expenses of grantees or to supplant what an institution would otherwise spend to carry out activities allowed in the programs.

Title III Program Office

Institutional Services (IS) in Washington, D.C., administers programs authorized under Title III, Title V, and Title VII of the Higher Education Act of 1965, as amended. The Aid for Institutional Development programs (commonly referred to as Title III programs) supports improvements in educational quality, management, and financial stability at qualifying postsecondary institutions. Funding is focused on institutions that enroll large proportions of minority and financially disadvantaged students with low per-student expenditures. From its inception, one of the primary missions of Title III programs has been to support the nation's Historically Black Colleges and Universities (HBCUs).

Legislation, Regulations, and Guidance

Legislation

- Title III, Part B, Sections 321-327 of the Higher Education Act, as amended (20 U.S.C. 1060-1063c)
- Title III, Part F, Section 371 of the Higher Education Act, as amended (20 U.S.C. 1067q)

Regulations

- 34 CFR Part 608
- Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 81, 82, 84, 85, 86, 97, 98 and 99

How Title III Funds Are Allocated

The HBCU Title III, Part B Program is authorized by Title III, Section 322 of the Higher Education Act of 1965, as amended (HEA), and the Code of Federal Regulations (34 CFR 608); and the Part F Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Program is authorized by Title III, Section 371 of the Higher Education Act of 1965, as amended (HEA). Mandatory funding for the program is provided under the FUTURE Act (formerly Student Aid and Fiscal Responsibility Act/SAFRA), a part of the Health Care and Education Reconciliation Act of 2010 (Pub. L 111-152).

The HBCU – Parts B and F are discretionary grants that provide formula-based awards to institutions of higher education that must be legally designated as Title III eligible historically Black colleges and universities to apply for funding. To receive continuation funding, institutions must submit required statutory data for program staff to calculate award amounts as well as maintain their accreditation. Funds are allocated by a formula that is based on the number of Pell grant recipients at the institution, the number of students who graduated from the institution, and the number of graduates who have been admitted to and are in attendance

in graduate or professional schools in a degree program of discipline in which Blacks are underrepresented.

The Grant Allocation Formula (PHASE I)

1. Number of Pell Grant recipients at the institution during the school year immediately preceding the year of application x 50% of appropriations. Number of Pell Grant recipients at all applicant institutions during the school year immediately preceding the year of application.
2. Number of graduates at the institution during the school year immediately preceding the year of application x 25% of appropriations. Number of graduates at the institution during the school year immediately preceding the year of application.
3. Number of graduates, within five years of graduating with baccalaureate degrees, are in attendance in graduate or professional schools and enrolled in degree programs in disciplines in which Blacks are underrepresented x 25% of appropriations. The sum of the percentages of those graduates of all applicant institutions; the number of graduates within five years of graduating with baccalaureate degrees, are in attendance in graduate or professional schools and enrolled in degree programs in disciplines in which Blacks are underrepresented of appropriations the sum of the percentages of those graduates of all applicant institutions.
4. Add the amounts obtained in 1, 2, and 3.

Summary Of Title III Activities – Strengthening Historically Black Colleges and Universities Program

HBCU-PART B

Activity I: Enhancing the College's Technological Infrastructure For Administrative Management, Teaching, And Learning

The Enhancing the College's Technological Infrastructure for Administrative Management, Teaching, and Learning activity is designed to strengthen the communication network, support distance education and online programs, and provide the foundation to increase quality administrative management.

Activity II: Strengthening Academic Programs And Services Through The Infusion Of Technology, Enhancement, Maintenance, Renovation, And Construction

The Strengthening Academic Programs and Services Through the Infusion of Technology, Enhancement, Maintenance, Renovation, and Construction activity is designed to support the changing needs of new and expanding industrial employers and the diverse educational needs of students in Tuscaloosa and surrounding counties.

Activity III: Strengthening Student Performance Through Enhanced Academic Support

The Strengthening Student Performance Through Enhanced Academic Support activity provides a comprehensive structure to pull together many critical elements that will address the College's efforts to ensure its academic programming strengthens student performance.

Activity IV: Strengthening Institutional Effectiveness Through Professional Development

The Strengthening Institutional Effectiveness Through Professional Development activity provides ongoing professional development opportunities for faculty and staff to increase productivity and meet students' needs effectively.

Activity V: Library Services**

The Library Services activity was revamped and integrated with Activity III in FY222. This activity falls under 608.10(a)(5): Purchase of library books, periodicals, microfilm, and other educational materials and 608.10(a)(8): Joint use of facilities such as laboratories and libraries.

Activity VI: Project Administration

The Project Administration Activity is the administrative arm of the College's Title III Program responsible for project coordination and supervision. This activity is charged with project coordination and supervision of the five Title III activities. Responsibilities include monitoring the completion of activity objectives, evaluating projects according to the approved plan of operation, ensuring compliance and control of federal funds, and providing leadership in integrating Title III objectives and activities into the College's institutional effectiveness planning process.

HBCU-Part F (FUTURE)

Activity I: Strengthening and Enhancing Technology For Learning And Administrative And Funds Management

This activity is designed to increase flexibility in teaching and learning spaces and improve all students' access to online educational resources. In addition, the activity is designed to increase the quality and productivity of administrative practices by utilizing advanced information technology.

Activity II: Strengthening and Enhancing Classrooms/Laboratories (Construction/Renovations)

This activity is designed to respond to the changing needs of new and expanding industrial employers and the diverse educational needs of students in Tuscaloosa and surrounding counties.

Activity III: A Community Outreach Program

This activity is designed to provide different support daily to keep students motivated and engaged. It will provide opportunities for students to develop their leadership skills academically and socially with middle and high school students.

Key Personnel

Activity Director/Staff	Activity Numbers/Titles
Claude Lake	Activity I: Strengthening Administrative and Funds Management
Anika Lodree, Ph. D.	Activity II: Strengthening Academic Programs and Services
Kelly Griffiths, Co-Director Monica Robinson, Co-Director	Activity III: Strengthening Academic Program Support
Robert (Blake) Everett	Activity IV: Professional Development
Kelly Griffiths	Activity V: Libraries Support**
Carol Williams	Activity VI: Program Director
Angela Taylor-Wells	Programs/Administrative Assistant
Miriam Cooper	Programs/Community Support Coordinator

*** Activity V combined with Activity III: Academic Program Support in FY23-24*

Title III Advisory Committee

Kevin Davis, J.D., Dean of Human Resources

Joseph Eatmon, Dean of Community Relations

Michael Green, Ph.D., Dean of Instruction

Vacant, Dean of Student Services

Brian Harrison, College Financial Officer

Vacant, Dean of Workforce Development

Anika Lodree, Ph.D., Dean of C. A. Fredd Campus

Channing Marlowe, Dean of Administrative Services

President

Jon Koh, Ph.D.

Director of Grants

Margaret Purcell, Ph.D.

Restricted Funds Accountant

Tahomah Blackmon

SECTION B: GRANT ADMINISTRATION

The Title III grant at Shelton State Community College is administered according to approved federal, state, and institutional guidelines. Programmatic, fiscal, and personnel processes are clearly outlined and systematically administered. The Policies and Procedures Manual is provided to facilitate the achievement of desired outcomes associated with approved program objectives. Job descriptions, reporting lines, and decision-making processes are consistent for managing Title III and other College programs. Exceptions may occur to satisfy external funding requirements.

Though many employees are indirectly involved with various Title III program implementation components, the following personnel have direct assignments:

- President
- Director of Title III
- Title III Advisory Committee
- Activity Directors
- Director of Grants
- Restricted Funds Accountant

The Role of the President

The President is primarily responsible for assuring that the goals and objectives of the Title III program are met. Because the program is Institution-wide in scope, the President is actively involved in the planning, implementation, and evaluation activities associated with the Title III program. The President's vision for the College is reflected in the plan of operation for Title III. By authorizing legislation for Title III, the President is principally charged with leading the College toward self-sufficiency. The President, along with the Dean of C. A. Fredd, supervises the Director of Title III on programmatic issues and others as necessary.

The Role of the Director of Title III

The Director of Title III is responsible for monitoring the completion of objectives, tasks, and project evaluation according to the approved plan of operation. Reporting directly to the Dean of the C. A. Fredd Campus, the Director coordinates day-to-day operations and program oversight and serves, along with the Dean of C. A. Fredd Campus, as a liaison among all College units, the Department of Education, the Department of Postsecondary Education, and others, as appropriate, on matters related to the Title III grant.

The Role of the Title III Advisory Committee

The Title III Advisory Committee comprises deans and directors of significant College units supported by Title III goals and objectives and serves as the policy-making body for the Title III program administration. The Committee provides leadership facilitating overall program implementation and decisions relative to activity modifications. Committee members serve as the unit head for respective activities, helping carry out approved activity objectives. They review and approve appropriate activity budgets, approve expenditures related to travel and purchases, assist in integrating activities into the total operation of the College, and make recommendations for new or revised goals and objectives. The Committee also participates in the annual evaluation process.

The Role of Activity Directors

Activity directors are responsible for carrying out the approved plan of operation for the activity to which they are assigned. The plan of operation includes objectives, specific tasks, performance evaluation measures, and a budget. Each activity director is responsible for requesting expenditures related to the assigned activity according to established policies and procedures. Because of the interrelatedness of approved activities, activity directors are invited to attend staff meetings where outcomes, problems, strategies, and other matters are discussed. They must also submit monthly progress reports to the Director of Title III. (See additional duties on page 36)

The Role of the Director of Grants

The Director of Grants serves as the compliance officer for the College and is responsible for overseeing expenditures of all federal and state grants.

The Role of the Restricted Funds Accountant

The Restricted Funds Accountant coordinates all budgets, cash management, and accounting functions for restricted fund projects according to federal, state, and other agencies that provide funds to the College. The accountant meets periodically with the Director of Title III and activity directors to discuss and facilitate budgetary matters. The Restricted Funds Accountant is a Business Office staff member who prepares and distributes monthly budget reports to each restricted funds project director.

Title III Staff Meeting

Title III staff meetings are held weekly to share information pertinent to successful program management and review activity outcomes and concerns. The Director prepares an annual meeting schedule based on the most appropriate time for key personnel. Should dates conflict

with College programs or activities, the Director of Title III will meet individually with activity directors and others as necessary. Before each meeting, an agenda is distributed to activity directors and the Title III Advisory Committee. Minutes are prepared and distributed accordingly.

Activity Director's Meeting

Title III Activity Director's meetings are held monthly to provide updates of the success and accomplishments of the program activity. Each Activity Director will report on the status of the activity objectives and performance indicators. Updates are presented on major accomplishments and challenges in the implementation and execution of the goals and outcomes.

SECTION C: DEPARTMENT OF EDUCATION EXTERNAL REPORTING REQUIREMENTS

Phase I Report

The Phase I Report is compiled from data obtained from the Office of Institutional Research and Effectiveness. The report requires the number of graduates, Pell grant recipients, and specific graduate school attendees for a specific twelve-month period. (See How Title III Funds are Allocated on page 7.)

Steps to Complete the Report:

1. Request Pell grant recipients' data.
2. Request graduate data for the reporting period beginning July 1 through June 30.
3. Following directions provided by the U.S. Department of Education, enter the data on the forms along with the reporting data for the previous four reporting periods.
4. Submit the report to the Title III Program Officer or designee.

Phase II Budget Report

The U.S. Department of Education (DoE) requires that under a multi-year grant, each activity budget must be submitted and approved prior to expending funds for the new fiscal year. The fiscal year runs from October 1 to September 30. The Director of Title III will be notified via the DoE of the amount awarded each year, and an annual budget report will then be generated. The annual budget report for Title III includes the following: (1) a narrative detailing any pertinent budgetary changes for each activity; (2) a detailed narrative reflecting any changes to activity objectives and an updated Activity Objective/Anticipated Results Form to include timelines; and (3) an Individual Activity Budget Form and accompanying Individual Activity Budget Narrative Form. Activity Directors will be notified of the due date of the report. The Director of Title III is responsible for the submittal of this report to the DoE for approval. The College is notified by the grants officer once the budget has been approved. A copy of each project's budget is transmitted from the Title III Office to the Business Office, Restricted Funds Accountant, and each activity director after formal notification of grant approval has been received.

Steps to Complete the Report:

1. The Grant Award Notification (which details the amount awarded for the upcoming year) is received prior to completing the report.
2. All budgeted items are to be reflected in the format provided by the Department of Education, including major items such as personnel, fringe benefits, travel, equipment, contractual services, and others that allow the activity to function as efficiently as

intended. An Individual Activity Budget Form and accompanying Individual Activity Budget Narrative Form is required for each activity and submitted by the Activity Director.

3. If objective changes to the approved proposal are required, the Activity Director should submit a detailed narrative reflecting any changes and an updated Activity Objective/Anticipated Results Form to include timelines.
4. A spreadsheet detailing personnel costs for each activity is generated by the Business Office, and the Title III Office is responsible for entering the amounts related to each activity's budget.
5. The budget and required forms are submitted according to the directions provided by the DoE.

Annual Performance Report

The DoE requires a detailed Grant Performance Report for each new fiscal year under a multi-year grant. Recipients of the Title III Grants must submit an Annual Performance Report demonstrating that substantial progress has been made toward meeting the project's objectives. Beginning in FY 2002, this report has been completed and generated to the DoE in electronic format.

Activity Directors are required to submit an Annual Performance Report for their activity. This report, due to the Title III Office by November 30 of each year, must provide the necessary information and data to compile the responses required by the U. S. Department of Education for the Annual Performance Report.

Steps to Complete the Report:

1. The Title III Office emails a document template containing the required reporting information to each activity director by October 15th of each year. The template contains the activity objectives and reporting status, process measures, and focus area outcomes for each activity as required by the U.S. Department of Education's reporting system. The Director of Institutional Research and Effectiveness provides financial data for the reporting cycle.
2. The Title III Office compiles and enters the activity reports into the DoE website. The website is only active and will accept data on dates specified each year by the DoE.

Final Report

Final Performance Reports are due 90 days after the expiration of the grant's project period. If a no-cost time extension from the U.S. Department of Education is received for a grant, the

Final Performance Report is due 90 days after the revised project period end date. Program officers may also request an Annual Performance Report that covers the original final budget period from grantees that receive no-cost time extensions.

Steps to Complete the Report:

1. A two-to-three-page Executive Summary is required for Final Performance Reports and is completed by the project director. Highlights of the project's goals, the extent to which the expected outcomes and performance measures were achieved, the population served and the contributions the project has made to research, knowledge, practice, and/or policy are included in this section of the report.
2. Actual budget expenditures for the entire previous budget period and the entire final budget period are provided by the Restricted Funds Accountant, and the entire project period are required for the report and provided by the Business Office.
3. Quantitative and/or qualitative data for each associated performance measure and a description of preliminary findings or outcomes that demonstrate that performance measures have been met must be included in the report. An explanation of how data on performance measures demonstrate that objectives have been met is also included. Complete data on performance measures for the final budget period must be submitted with the Final Performance Report. Activity Directors are responsible for submitting performance data and objective progress for their activity.
4. The Title III Office compiles the activity reports and submits the responses on the forms provided by the DoE.

SECTION D: INTERNAL REPORTING REQUIREMENTS

Time and Effort Reporting

The federal government requires that grant recipients conduct timekeeping for all full-time and part-time employees assigned to grant projects. To facilitate understanding, the following steps will be used:

1. The Title III Office will provide Time and Effort Forms based on approved position descriptions for all individuals working on the grant project.
2. The Time and Effort Form for the Director of Title III will be signed by the Dean of C. A. Fredd Campus.
3. Time and Effort Forms for Activity Directors will be signed by the Director of Title III.
4. Time and Effort Forms for staff will be signed by the employee and countersigned by the Activity Director.

Time and Effort Reporting Requirements

Each person paid from Title III funds, in whole or in part, must complete a Time and Effort Form. The form lists the percentage of time devoted to each job duty monthly. It is to be submitted to the Title III Office no later than five (5) business days after the end of each month.

NOTE: Activity Directors will be held accountable to ensure that personnel funded through Title III comply with reporting requirements.

The [link](#) to the online submission form can be accessed at the **myShelton** login portal.

Progress Report

This report is generated on a quarterly basis by the Activity Director. They document the status of activity objectives and current activity expenditures. Quarterly, Mid-Year, and End-of-Year progress reports are due on the tenth (10th) business day of the months listed below.

- Report 1 (October 1-December 31) due in January
- Report 2 (January 1-March 31) due in April (Mid-Year)
- Report 3 (April 1-June 30) due in July
- Report 4 (July 1-September 30) due in October (Year-End)

Budget Reconciliation Report

This report is generated monthly by the activity director to document current activity expenditures. It is due to the Title III Office no later than ten (10) business days after the end of each month.

SECTION E: FISCAL ACCOUNTABILITY

Activity Account Numbers

To document accountability for Title III regulations, the Business Office has assigned separate account numbers in Banner to identify each grant activity. The account numbers contain the following numbers:

- Fund number
- Organization number
- Line-item account number
- Program number

Account numbers have 20 digits. The 5th digit in the fund number changes annually to denote the current fiscal year. Each activity has its distinct organization number.

Line-item Accounts

The line-item account numbers are the same for all activities, restricted and unrestricted, under College management. All expenditure requests (requisitions, contracts, travel) must show the designated activity account number, including the line-item.

The number of line-items used by the College to identify and manage fiscal records exceeds those required on the Department of Education budget forms. Thus, periodic transfers are necessary for consistency with approved business office practices. *Example 1:* In submitting budgets to the Department of Education, *equipment* is identified as those items with a unit cost of \$5,000 or more. Equipment with a unit cost of less than \$5,000 is classified as *supplies*. Shelton State defines equipment as *property* with a unit value of \$5000 or more and a useful life of at least one year. Once the Department of Education approves the Title III budget, the Business Office converts budget line items to coincide with the broader line-item classifications adopted by the College. *Example 2:* The "*other*" line-item required in submitting federal budgets covers a range of items such as software, printing, books, etc. The College has different account numbers for these expenditures. The Department of Education allows institutions to use guidelines that meet or exceed their requirements.

Activity Expenditures

Each activity has a distinct budget to support its plan of action. Requests for payment of activity expenditures are submitted to the Director of Title III and should include all required documentation and signatures. Some changes or substitutions can be made without prior approval from the Department of Education. Activity directors should discuss proposed changes with the Director of Title III. Budgeted items requiring bids, e.g., equipment, should be

processed early during the project year to minimize delays in implementing activity objectives. These items often require approval from the Alabama Community College System Board of Trustees. The Director of Title III will give the Dean of Administrative Services the necessary information to submit the letter of request and supporting documentation.

Budget Transfers

A grantee may make transfers consistent with 34 CFR 84.25 and Part 75 of the Education Department General Administrative Regulation (EDGAR) Expanded Authorities issued March 22, 1999. Activity directors should discuss desired transfers with the Director of Title III. If an activity director needs to transfer funds from one account to another account, they must complete a **Title III Budget Transfer Form** located on the Title III webpage.

Purchase Procedures

Requisitions

College procedures for ordering and receiving merchandise are included in the Employee Handbook. A requisition for a purchase order is required for all supplies, equipment, repairs, leases, and contractual services. Requisitions must be typed or written in dark ink with all sections completed. Approval of Title III requisitions requires the following signatures, at a minimum, before requisitions are forwarded to the Business Office: Requestor, Requestor's Supervisor, Activity Director, Director of Title III, and the Dean of C. A. Fredd Campus. The Title III Office prepares purchase orders based on approved requisitions. The Business Office will email purchase orders as indicated on the requisition. A copy of the approved purchase order statement is emailed to the first name listed on the requisition, usually the activity director. A copy of approved purchase orders should be submitted to the Director of Title III to enhance fiscal monitoring and decisions. Activity directors are responsible for providing such copies based on their respective activities.

Bids

Bids may be required for equipment, software, supplies, and contractual services projected to cost \$50,000 or more. A new bid is unnecessary if an existing bid is active for a particular item. Product specifications, suggested vendors, and other guidelines are written by activity directors with assistance from faculty, staff, and external sources as necessary. The Director of Title III submits each request to the Dean of Administrative Services for bid solicitations consistent with the Alabama State Bid Law. Before a bid is awarded, activity directors and others, as necessary, are invited to review bids submitted to verify that all specifications have been met.

The Business Office or the Dean of Administrative Services notifies the successful bidder, and a copy of the bid is forwarded to the Title III Office. In preparing requisitions for bid items, the bid number must appear in designated places. The College will periodically require at least three quotes to get the best possible price for goods and services. Quotes are solicited by faculty, staff, activity directors, and others who will benefit from the projected purchase. Unlike bids, quotes are not assigned a number; however, the written quotes must be attached to requisitions.

Invoices

The Business Office requires that the requestor sign invoices to ensure that the materials or services are consistent with the approved purchase order. Thus, activity directors should carefully examine all shipments for the accuracy of contents. Equipment and tools should be tested immediately to confirm proper working order and identify any malfunction or missing parts before payment. Problems encountered with receiving orders or dissatisfaction with a product or service should be reported to the Director of Title III. Activity directors should sign and submit approved invoices to the Title III Office, which will be posted and forwarded to Accounts Payable. This procedure strengthens fiscal monitoring, reporting, and reconciliations with monthly financial statements distributed by the Business Office.

Petty Cash

The College authorizes petty cash reimbursements up to \$25 for approved expenditures. Activity Directors and other staff should make cash purchases only when it is essential. A **Petty Cash Form** is required and should be submitted to the Director of Title III for processing. The original receipt must be signed by the purchaser and attached to the form. Reimbursements, excluding sales taxes, are made monthly by the Business Office.

Supplanting and Supplementing Requirements

The College is prohibited from using Title III funds to support any service, program, or position which was supported before receiving the federal funds. Documentation must be maintained to support any use of regular College personnel in the Title III Program. When using regular College staff in a Title III grant, funded by Title III or institutional funds, documentation is required to verify Title III is not being used to **supplant (replace)** College funds.

1. Requirements for College-Funded Positions
 - a. College continues to fund the position.
 - b. No Title III funds are used.
 - c. The position is the College's contribution to Title III Project.
 - d. Time and Effort Forms document the contribution.

2. Requirements for Title III-Funded Positions

- a. Replacement of staff must be backfilled with College funds.
- b. Prorated replacement duties are determined by a portion of Title III funding.
- c. College employment forms provide the audit trail for replacement.
- d. Time and Effort Form is required monthly by Title III-Funded staff and individuals providing institutional contribution.

No-Cost Extensions

A one-time extension of the project period may be granted for up to one year with prior approval.

The Grantee must send written notification of planned extension to the assigned Department of Education Program Officer no later than ten (10) days before the end of the project period. The notice should include supporting reason(s) for the extension and the revised expiration date.

An extension cannot be merely for the purpose of exhausting unexpended funds, cannot change the scope or objectives of the project, or cannot require the need for additional federal funds.

SECTION F: BUDGETS

Annual Budget Submittal

The Director of Title III is notified via the DoE of the amount awarded each year, and an annual budget report is then generated. The annual budget report for Title III includes the following: (1) a narrative detailing any pertinent budgetary changes for each activity; (2) a detailed narrative reflecting any changes to activity objectives and an updated "Activity Objective/Anticipated Results" Form to include timelines; (3) an Individual Activity Budget Form and accompanying Individual Activity Budget Narrative Form.

The Director of Title III is responsible for the submittal of this report to the DoE for approval. The College will then be notified by the Grants Officer once the budget has been approved. A copy of each project's budget will be transmitted from the Title III Office to the Business Office, Restricted Funds Accountant, and each Activity Director after formal notification of grant approval has been received.

Planning and Managing Activity Budgets

Planning Activity Budgets

Using previous budget submittals as a guide, the Activity Director will prepare a new budget for submittal to the Title III Office. Assistance in obtaining current information on personnel costs and fringe benefits can be obtained from the Office of the Director of Restricted Programs. Planned travel costs must be detailed and include the name of the conference and location, date of the conference (if known), and estimated hotel, meals, registration, and other incidental costs (such as taxis/shuttles). Equipment costs must include a quote from the vendor and should also contain an information sheet on the product to be included in the Budget Narrative Report.

Managing Activity Budgets

The Restricted Programs Accountant monitors expenditures of all Title III funds, establishes the activity budget center accounts, and provides access to the accounts through the G5 computer system. Through the General Ledger module, this individual can access budget reports that provide more detailed expenditure and vendor data. This information can be furnished to the Activity Director upon request. It is the Activity Director's responsibility to monitor the budgets for expenditures and to ensure they are posted to the correct line-item account. Copies of expenditure documentation (requisitions, purchase orders, and invoices) are to be kept on file in the Activity Director's office. The Activity Director should forward to the Director of Title III for filing on a monthly basis, any requisitions, purchase orders, and invoices processed for the activity.

Budget Modifications

Programmatic revisions require prior approval from the United States Department of Education.

The following actions (OMB Circular A-110.25) must receive prior approval:

1. Revising the project objectives or scope of activity
2. Changing key personnel
3. The absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved Project Director
4. The need for additional federal funding
5. Transferring amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa
6. The inclusion, unless waived by the federal awarding agency, of costs that require prior approval in accordance with applicable federal regulations
7. The transfer of funds allotted for training allowances to other categories of expense
8. The transfer or contracting out of any work under an award unless described in the approved application (This does not apply to the purchase of supplies, materials, equipment, or general support services.)

Changes and Revisions

Any revision to the scope or approved program objectives, regardless of budgetary implications, shall be approved by the U.S. Department of Education or another sponsored program agency before implementation.

Transfer of funds between line items shall not exceed 20 percent of the agency-approved budget for both line items. However, federal regulations state that budget transfers among direct cost categories cannot exceed 10 percent of the total budget without the approval of the program officer. Additionally, an appropriate justification for the revision is required. The Title III Office will assist with budget revisions before they are transmitted to the Business Office.

Budget Revision Procedures

Activity budgets are carefully prepared to support the narrative of the activity, and no changes or substitutions can be made without prior approval of the Director of Title III and, in some cases, the Department of Education. This lengthy process is discouraged. When completing the online or paper Budget Transfer Form, a brief reason for the changes requested must be included. For personnel costs, equipment and items not identified in the activity budget, specific details must be provided (i.e., name, position, fringe benefits; description, items, cost;

types, number). Within an activity, there is limited flexibility among some line-items. The Activity Director needs to involve the Director of Title III in decisions of this nature. However, it is important to note that additional items not approved in the grant cannot be purchased even if the price of an item is reduced from the projected cost.

Please note the following: The Director of Title III cannot process requests for payment of activity expenses unless all required documentation including justification is submitted. The various forms needed in the fiscal monitoring of the Title III grant are detailed in this manual. The Activity Director must sign this report prior to its submission to the Title III Office.

Budget Transfers – Line-item Transfers

In some instances, it is necessary to transfer funds from one line-item to another in order within a specific year to meet activity objectives. Activity directors can request a transfer by completing and submitting the Title III Budget Transfer Form to the Title III Office.

Transfers from one activity to another activity should be completed by the Business Office with approval from the Director of Title III. The Budget Transfer Form devised by the College's Business Office must be completed in its entirety. Requisitions should not be submitted that expend funds impacted by budget amendments until monies have been posted to the activity account.

Expending Carryover Funds

Each fiscal year, unexpended funds are carried over from one budget period to the next without approval. Unexpended funds may be used for any allowable cost that falls within the approved scope of the grant, not just for finishing activities from the previous budget period.

The Program Officer may require a written statement describing how unexpended funds will be used. New funds may be reduced under certain circumstances. Therefore, it is extremely important to expend funds allocated for each fiscal year to meet objectives within that fiscal year.

SECTION G: EQUIPMENT

Federal Equipment Regulations

The most recent OMB Circular A-110 defines guidelines for financial management of federal grants to Institutions of higher education. Among the listed items, you will find the uniform administrative requirements for equipment.

Equipment means tangible non-expendable personal, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, lower limits may be established.

This updated information should be applied uniformly to all the College's internal administrative and financial systems that manage federal grants.

Equipment Inventory Reporting

Approved policies for equipment inventory and management are outlined in the Employee Handbook. The policies cover recording specifics, disposition, transfers, and other essential information governing equipment inventory. Equipment inventory records are maintained by the Business Office and the Title III Office and include the following: description of the property; serial number or other identification numbers; property sources; acquisition dates; cost; location; property use and condition; and date of disposal (sale price if applicable). The Title III Office records equipment purchases to strengthen general program oversight and evaluation.

General grant regulations for Title III require the Director of Title III to properly account for all equipment. The College will maintain the official equipment inventory system, and the grant program will assist this function by maintaining an updated Equipment Inventory Form for all Title III equipment purchases identified with an inventory identification tag, which is present when the item is received at the activity location. This report must be signed by the Activity Director prior to submitting it to the Title III Office.

In addition to the equipment inventory tag, grant regulations require that equipment purchased with federal funds must clearly be marked to identify that it was purchased with federal funds. Title III labels (yellow tags) identifying "Property of Shelton State Community College" are to be prominently displayed on all equipment purchases.

An inventory of all Title III equipment must be conducted quarterly, and changes in location, use, condition, and disposition must be updated.

Equipment Transfers

It is imperative to follow procedures regarding equipment transfers. State auditors and risk management require that accurate inventory records be maintained. In addition, if proper transfer procedures are not followed, responsibility rests on the last custodian or user on record. The Director of Title III must approve all equipment transfers.

Equipment Inventory Disposal

All equipment purchased with Title III funds remains vested in the Federal Government. No reallocation or disposal of any real property can take place without written approval from the Title III Director.

Loss, Theft, Fire

Any missing, stolen, or lost equipment must be reported to the Security Office or proper law enforcement agency. A copy of this report must be forwarded to the Title III Office.

SECTION H: PERSONNEL POLICIES

Hiring

The procedures for hiring people funded by Title III, completely or partially, are identical to those generally practiced at Shelton State. The Director of Title III should be consulted to ensure that the activity objectives and budget support the position.

Time and Effort Documentation

Title III staff and activity directors complete a Time and Effort Form monthly to document assignments and time devoted to the project. Actual tasks completed by Title III personnel are also included on the form. The Office of Human Resources requires an Attendance Report monthly for all personnel. The due date is announced via email and usually is ten days before the end of the payroll period.

Employee Handbook

A copy of the Shelton State Community College Employee Handbook is distributed to each employee by the Office of Human Resources. It includes policies and procedures that govern **all** College employees and is updated periodically to reflect changes. Thus, Title III personnel are governed by the Employee Handbook and the Title III Policies and Procedures Manual. Both publications are updated periodically to reflect accurate information.

SECTION I: TRAVEL PROCEDURES

General Staff Travel

Approved travel is described in the annual program budget for the Title III staff and others associated with project goals and objectives. College policies and procedures are strictly followed for all travel. There are clearly defined guidelines for in-state and out-of-state travel.

In-State Travel

The per diem rate for travel requiring an overnight stay is currently \$85 per day. For travel requiring stays of two or more nights, the traveler will be paid \$100 per day. For travel that does not require an overnight stay, the traveler shall be paid a meal allowance of \$12.75 for a trip from 6 to 12 hours. For travel more than twelve hours' duration, the traveler shall be paid \$34.00.

Out-of-State Travel

Meals and incidental expenses will be prorated to 75% of that location's amount for "travel days." The purpose of the trip must be indicated and be related to the goals and objectives of the activity as stated in the grant application or activity modifications. For complete details regarding the College's Travel Policy, please visit myShelton.

Professional Development Travel

Through the Professional Development Activity, eligible faculty and staff may apply for travel related to specific professional development needs. Activities may include workshops, conferences, classes, internships, and other experiences designed to enhance the quality of teaching, learning, and student success. An **Application for Professional Development**, which is the Travel Request package, is used to evaluate applicants for these opportunities. Title III travel guidelines are available in the Title III Office and with the Professional Development Activity Director.

Travel Tips

1. Out-of-state travel requires approval by the Director of Title III and the Dean of C. A. Fredd Campus. Therefore, travel requests must be submitted to the Title III Office **at least six weeks before** travel is scheduled.
2. In-state travel requires approval by the Dean of C. A. Fredd Campus, the Director of Title III, Supervising (Associate) Dean, and Supervisor.
3. An incomplete request will not be accepted.

4. Reimbursement reports for out-of-state trips must include the following: an original copy of the approved travel request; original receipts; a trip report; documentation of activity; meeting agenda; Director of Title III signature on the completed reimbursement form.
5. Although there is no standard per diem for out-of-state travel, employees are asked to keep costs reasonable based on the travel area. Excessive meal charges will be carefully scrutinized and may not be allowed or reduced. Conference hotels usually provide special rates, which are acceptable.
6. Receipts should be listed in the employee's name. When this is impossible, a written explanation should be attached to the report.
7. Reimbursement reports for in-state trips must include the following: original copy of approved travel request; workshop/conference receipt (if applicable); documentation of travel; meeting agenda; the Director of Title III signature on the completed reimbursement form. Except for conference fees, standard per diem and mileage rates are used in processing in-state travel reimbursements.
8. Travel must be related to project goals and objectives; otherwise, it should be supported by institutional funds.
9. To comply with the Business Office deadlines for travel, complete reimbursement reports should be submitted immediately (following the trip) to the Title III Office.

The following reimbursement schedule applies depending on when forms are received by Payroll:

- Received between the 1st and 15th of the month: reimbursed on the last working day of the month.
- Received between the 16th and end of the month: reimbursed on the 15th of the next month.

Travel Eligibility

Faculty and staff members are eligible to apply for Title III travel funds. Faculty and staff must not be on temporary status. Except under exceptional circumstances, administrators are not eligible for travel using Title III funds. Administrators are defined as presidents and deans. The following documents are required when submitting travel requests through the Title III grant:

- Prior approval of Employee Travel Request, including a copy of conference agenda, airfare, mileage, hotel reservation, and registration
- Justification letter from an immediate supervisor

The following documents must be submitted for travel reimbursement:

1. Completed Out-of-State/In-State Actual Travel Reimbursement form with approval signatures affixed;
2. Original copies of all receipts;
3. Completed approved Travel Request Form with all approval signatures affixed;
4. For employees traveling in private automobiles, current map mileage must be used where mileage is claimed from a physical address to physical address. The mileage may be obtained from several sources including www.maps.yahoo.com, www.mapquest.com, www.mapblast.com, www.randmcnally.com, etc. The printout of the current map mileage must be attached to the expense form.

Professional Development Report Form

All persons whose travel expenses are paid from Title III funds are required to submit the **Title III Professional Development Report Form** located in myShelton upon completion of travel. This form should be submitted with travel reimbursement documents.

Consultant Services

Consultants may be engaged to support the implementation of objectives described in Activity budgets. The President must approve contracts for any person, association, or company. As appropriate, the Director of Title III, Instructional Deans, and others will assist with preparing approved contracts and negotiating reasonable fees. When necessary, the Business Office will assist with bidding services or products.

1. Typical Allowable Services
 - a. Workshop, seminar, trainings
 - b. Technical Assistance
 - c. Expert advice
 - d. Technology
 - e. Instructional renovations
2. Contract Requirements
 - a. Complete name and address of person, association, or company
 - b. Social Security Number or company identification number
 - c. Description of service or product to be delivered
 - d. A timetable for the work to be completed or products to be delivered
 - e. Account number and total remuneration by category
3. Required Documentation and Validation of Services
 - a. Workshop presenters: resume, a program outline, evaluations
 - b. Expert advice: a written report of findings as requested

- c. Technology: performance testing, warranty, and other documentation as specified in the contract
 - d. Instructional renovations: site and operational inspection/evaluation, manufacturer warranties, labor assurances
4. Reimbursement Procedures
- a. A requisition/purchase order is prepared to accompany the contract.
 - b. Unless approved, an invoice is required.
 - c. The Business Office mails checks.

GLOSSARY

Understanding Contracts and Grants

1. **Budget:** A proposal written in numerical terms, clearly delineating costs to be met by the funding source and those provided by other parties. It is the estimated cost of implementing a proposed program or objective.
2. **Effectiveness:** The extent to which strategic objectives are achieved
3. **Efficiency:** Amount of output related to the cost of producing the product or service
4. **Goals:** Broad statement of what the project or organization wants to accomplish. Goals provide a general direction for commitment to action. They are global descriptions of a long-term desired impact or condition to which the project's efforts will be directed. Goals are ideals; they are timeless and are rarely achieved.

Examples:

- To increase graduation rates
 - To improve student retention
5. **Impact:** The degree to which objectives are achieved as a direct result of program expenditures
 6. **Input:** The resources (human, financial, equipment, supplies) that the grantee uses to produce its outputs; Example: dollars expended.
 7. **Objectives:** In contrast to goals, objectives are statements of what one intends to have accomplished at the end of a specified time. They include relevant, attainable, measurable, and time-limited outcomes to be achieved.
 - a. They are **relevant** because they fit within the general mission and goals of the organization and because they relate to the problem identified by the proposed project. Objectives should be consistent with one or more institutional goals.
 - b. They are **attainable** because they can be realized.
 - c. They are **measurable** because their achievement is based upon tangible, concrete, and quantifiable results. They indicate the quantitative or qualitative degree, amount, or level of the achievement or change being sought.
 - d. They are **time-limited** because the proposed project specifies the time within which results can be achieved.

Examples:

- To increase the job placement rate of automotive technician students from 50 to 85 percent by September 30, 2024
- By fall semester 2024, develop staff and implement an associate degree for a program in dental technology that will be responsive to local and regional employment needs

8. **Outcome:** The degree to which the accomplishment of program goals can be attributed to program outputs
9. **Output:** The work completed; products, services, and other direct results of the project or program activities; Example: students who complete XYZ training.
10. **Performance Indicator:** A target level of performance expressed in measurable terms, against which actual achievement can be compared; Example: student retention rates will increase 1 percent annually for each of the next five years.
11. **Performance Measure:** A characteristic or metric that can be used to assess performance aspects of a program or project. Examples: dollars expended, students enrolled, grade point average, and the number of job offers received.
12. **Project:** The activity/activities outlined in the proposal and approved by an agency for support
13. **Proposal:** A request for funds for a specific purpose from either private or governmental sources; It describes a need and proposes a program to fill that need.
14. **Supplant:** to supersede and replace.
15. **Supplement:** to complete or enhance something.

NOTES:

APPENDIX

Title III Activity Director Duties and Responsibilities

- Provides activity management and budget monitoring.
- Stays abreast of all activity objectives, grant regulations, and institutional policies.
- Ensures implementation of activity objectives in compliance with federal regulations and institutional policies.
- Recommends hiring of activity staff/faculty.
- Supervises and monitors activity staff/faculty.
- Reports activity status/progress.
- Ensures completion and approvals of Time and Effort Reports/Monthly Reports for all activity staff/faculty.
- Ensures timely submission of monthly reports to the Director's Office.
- Approves all activity expenditure requests.
- Ensures all activity expenditures are related to an objective prior to submitting to the Director's Office.
- Maintains up-to-date Title III activity equipment inventory.
- Attends Title III Activity Director's meetings, orientations, workshops, etc.
- Meets routinely with activity staff/faculty to ensure smooth and effective activity implementation.
- Prepares and submits annual Plan of Operation for activity.
- Maintains documentation files on activity/objective implementation.
- Disseminates activity documentation records to the Title III Coordinator/Director.
- Prepares for and participates in internal and external Title III activity evaluations, site reviews, etc.
- Responds appropriately to evaluation recommendations to improve activity outcomes.
- Prepares programmatic reports required by the funding agency.
- Completes a yearly Activity Director Self-Assessment form.